

Research Note 83-13

COMPETENCIES OF ORGANIZATIONAL
EFFECTIVENESS CONSULTANTS
IN THE U.S. ARMY

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McBer and Company

LEADERSHIP AND MANAGEMENT TECHNICAL AREA



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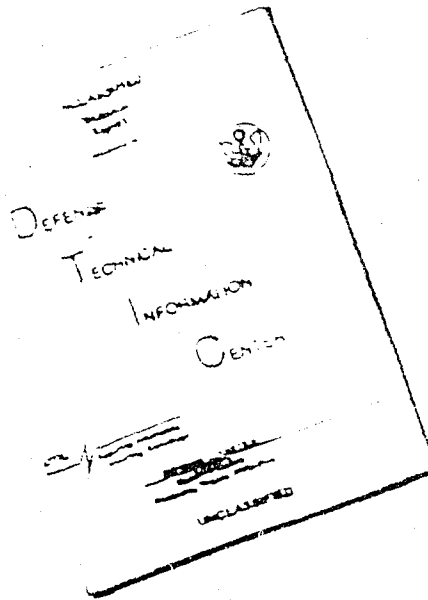
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performance. Traditional techniques for identifying job characteristics such as function analysis typically provide only descriptive accounts of average performance in routine situations. The Job Competency assessment approach offers the advantage of yielding behaviorally derived competencies which identify behavioral characteristics of the superior performer in job performance situations. In addition, the present OESO Curriculum was reviewed in relationship to the competencies and recommendations for revision to the course.

Thirty-two incumbent OESOs participated in a Behavioral Event interview specifying the major responsibilities and tasks fulfilled by the OESO job incumbent, and the performer characteristics thought by the interviewee to be important to performing his or her job effectively. Interview data were subjected to content analysis by a panel of experts. Nine basic job competency clusters were identified from thirty-four distinct knowledge, skills, and abilities which distinguished the superior from the average OESO performer. Twenty-four of the thirty-four competencies differentiated superior from average OESO performers at the .10 level of significance, and eight of the nine competency clusters were validated against a job performance rating criterion. Seventeen competencies were identified as potential training objectives for OESOs with five competencies recommended as possible selection criteria.

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FOREWORD

The Leadership and Management Technical Area of the Army Research Institute (ARI) is involved in developing and applying social science research methodology to improve the effectiveness of Army management.

The following report is part of the research project of the OE Technology Development Unit. This research identified the critical knowledge, skills, abilities and characteristics required of Organizational Effectiveness Staff Officers (OESOs). This information will be used to enhance selection, training and performance evaluation of these individuals.

This report was prepared under Army Project 2Q163731A792.

COMPETENCIES OF ORGANIZATIONAL EFFECTIVENESS CONSULTANTS IN THE U.S. ARMY

BRIEF

Requirement:

The need exists to identify the critical knowledge, skills, abilities, and characteristics required of Organizational Effectiveness Staff Officers (OESOs) for successful job performance under a wide range of job conditions. For this purpose, competencies of OESOs were identified that distinguish the superior performer from the rest of the OESO population. Competencies are viewed here as characteristics of an individual that underlie effective work performance. Traditional techniques for identifying job characteristics such as function analysis, or critical incident analysis typically provide only descriptive accounts of average performance in routine situations. The job competency assessment approach offers the advantage of yielding behaviorally derived competencies identifying behaviors characteristic of the superior performer in effective job performance situations.

The present OESO curriculum was reviewed in relationship to the competencies, and recommendations for revision to the course were made.

Procedure:

Ninety-two incumbent OESOs responded to a written questionnaire nominating peers whom they considered to be outstanding performers in their job. Thirty-two incumbent OESOs rated as either effective or less effective in their job performance were then interviewed specifying the major responsibilities and tasks fulfilled by the OESO job incumbent, and the performer characteristics thought by the interviewee to be important to performing his or her job effectively. Data was then subjected to content analysis by a panel of experts. Responses from incumbents rated as effective were compared to those rated less effective according to the tasks they perform, their actual behavior, thoughts, and feelings, and the job results reported to have been achieved.

Findings:

The OESO Competency Model derived from the interview data identified nine basic job competency clusters from thirty-four distinct knowledges, skills, and abilities which distinguished the superior from the average OESO performer. Each of the thirty-four individual competencies were further classified according to their potential for development. The seventeen competencies which might be developed more readily in an

individual were identified as potential training objectives for OEC&S, while the five competencies seen as most difficult to develop in an individual were recommended as possible selection criteria. Eight of the nine basic competency clusters were validated concurrently with respect to an overall job performance rating criterion. Twenty-four of the thirty-four individual competencies significantly differentiated the superior from the average OESO performing groups in the expected direction at the .10 level of significance or better.

Utilization of Findings:

A major advantage of the competency assessment approach to identifying OESO job characteristics is that it yields assessment and training based on an understanding of the effective OESO in the Army. The OESO Competency Model may be used by the Army in a selection screening capacity to provide an early identification of OESO talent prior to a potential candidate's entrance into the OE program of instruction. Recommendations to the OESO course based on the Competency Model will be reviewed.

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PREFACE

The subject of this report is an investigation into the nature of consultancy in large and complex organizations. The U.S. Army has had, for a number of years, a corps of individuals who perform the role of internal consultant for a variety of commands. These individuals, who begin their military careers largely in combat-arms occupational specialties, were put through a 16-week program of intensive classroom and field training at the Organizational Effectiveness Center and School (O ECS)¹ at Fort Ord, California, to emerge as fledgling consultants, or Organizational Effectiveness Staff Officers (OESOs). Their mission was to help those Army personnel who have high levels of management responsibility--commanding officers of companies and battalions, for example--solve problems involving people and organizational systems that interfere with morale and operational effectiveness. This report examines the role of the OESO, the tasks that make up the job, and the characteristics that enable OESOs to be effective in their work. Our perspective, however, takes into account organizational-effectiveness consultants in settings other than the Army, and hence it may be considered a review of the general practice of consultancy, with special focus on practice in the Army.

The main theme of this report is consultant performance: things that OE consultants do that lead to success in a variety of interventions. In order to understand performance, the authors have taken different perspectives on the characteristics of the effective internal OE consultant--the attributes of the individual that enable the successful execution of a variety of consultant tasks, functions, and, most important, intervention strategies. Chapter 1 examines the established theoretical and empirical literature on consultant practice, including consultant tasks, roles, and attributes, as well as the process of OE consulting. An important aspect of this chapter is its emphasis on the case-study literature as the "reality test" of theory. With this as a background, Chapter 2 provides the first empirical study of the attributes, or "competencies," of the OESO that account for the personal-characteristics dimension of intervention success. The results of this research are then merged with the

¹ Formerly the Organizational Effectiveness Training Center (OETC).

literature review to provide a synthesis of factors that contribute to the effectiveness of OE consultants in the Army. Finally, Chapter 3 focuses on applying the conclusions of the two preceding chapters to a program of instruction for Army OESOs. Thus, the report flows directly from theory to application, concluding with both the specification of individual training objectives and a curriculum sequence for the OESO course that takes consultant competencies into consideration.

It is our hope that this report will serve as a useful examination of OE consulting practice in general, beyond its relevance to the Army OESO. Many of the findings have impact for the way the internal-consultant function is viewed by both clients in organizations and the consultants themselves: the findings should enable practitioners to examine their own skills and clients to become better-informed consumers of consulting services.

Chapter 1:

COMPETENCIES OF EFFECTIVE CONSULTANTS:
A REVIEW OF THEORETICAL, EMPIRICAL,
AND CASE STUDY LITERATURE

by

Bernard J. Cullen
Lyle M. Spencer, Jr.
Patricia Salt

INTRODUCTION

This literature review sought to identify variables that relate to effective consultant performance in organizational development interventions. Approximately 40 journals, published proceedings of annual meetings, unpublished papers presented at professional conventions, and books were searched. Table 1.1 presents a partial list of sources reviewed. This effort identified more than 120 articles that fall into three categories:

- (1) theoretical or descriptive studies
- (2) empirical studies
- (3) case studies of consultants (broadly defined to include members of helping professions, particularly therapists, health care workers, and social workers) and intervention efforts.

An earlier review of this literature (Spencer & Cullen, 1978) indicated that consultant "variables" or factors that affect the practice of consultancy, could be categorized into four groups:

- (1) consultant characteristics: demographics, attitudes and values, education and training, work experience and consulting experience
- (2) consultant competencies: personal characteristics or skills of individuals, including rapport-building, diagnostic, influence, and administrative skills
- (3) consultant role dimensions: internal and external locus; "advocate," "expert," "trainer," "problem-solving collaborator," or "interpersonal processor" relationship with the client; and variables descriptive of consultant-client role interactions
- (4) consultant intervention method and process behaviors: the specific techniques (e.g., T-group, structured training program, survey-guided development) and the steps in the process (e.g., diagnosis, planning, evaluation) used by the consultant

Many of the references reviewed contained information about more than one set of consultant variables. Given the dynamic

TABLE 1.1

Partial List of Sources

- Academy of Management Journal
- Academy of Management Proceedings
- Academy of Management Review
- Administrative Science Quarterly
- American Journal of Sociology
- American Psychological Association Proceedings
- American Sociological Review
- Annual Review of Psychology
- British Journal of Sociology
- California Management Review
- Evaluation Quarterly
- Group and Organization Studies
- Harvard Business Review
- Human Relations
- Human Resource Management
- Industrial Relations
- International Labor Review
- Journal of Applied Behavioral Science
- Journal of Conflict Resolution
- Journal of Management Studies
- Journal of Organizational Behavior Management
- Journal of Social Issues
- Management Science
- Occupational Psychology
- Organizational Behavior and Human Performance
- Organizational Dynamics
- Personnel
- Personnel Journal
- Personnel Psychology
- Psychological Abstracts
- Psychological Review
- Public Administration Review
- Public Personnel Management
- Sloan Management Review
- Sloan Management School Working Papers
- Social Science Quarterly
- Sociology, Work and Occupations
- Training and Development Journal
- Training
- Work and People

nature of interventions, variables in the four groups described above inevitably overlap and interact with one another. For example, the personal characteristics and competencies of a consultant limit the roles he or she can effectively adopt. Consultant: use of particular competencies and choice of role are also determined by client characteristics and problems. A consultant may take any of several different roles at various points in an intervention or in response to the immediate contingencies of a situation. The interactions of person and situational determinants of consultant behavior are illustrated in Figure 1.1.

The Spencer and Cullen (1978) taxonomy of consultant variables nevertheless proved adequate to summarize the additional bibliographic material identified for this review. Throughout this chapter, theoretic, descriptive, empirical, and case study data are presented to examine the factors that facilitate effective organizational effectiveness consultant practice.

A Note on Case Study Evidence

The impetus for the development of a case method approach to the study of organizational change stems from two crucial characteristics: First, organizational change takes place in a complex environment and over extended periods of time; consequently, causal sequences are extremely difficult to map. This complexity, while it does not preclude a more rigorous experimental approach, produces endless internal and external threats to validity. Second, organizational change is a practical endeavor, and thus practice often precedes theory. The demand for practical assistance is great, and one pragmatic form of assistance is to learn from the documented experiences of successful and unsuccessful practitioners. As Friedlander and Brown (1974) note, "for consultant and client relevance, research is most useful if it provides immediate continuous feedback of the process and progress of intervention and development" (p. 336). Case studies potentially can meet this need.

Walton (1972) combines these two themes when he suggests that:

The case study, if employed appropriately by applied behavioral scientists, becomes an excellent vehicle for the inductive developments of new theory--middle range theory that has both goodness of fit with the phenomenon contemplated and implications for actions. (p. 74)

Case studies, therefore, provide a potential means for identifying appropriate "theories of action" of consultants (Argyris

& Schon, 1974). In a field dominated by fads and half-digested theories (Back, 1974), it becomes essential to get behind espoused theories and to focus on the actual behavior or theories-in-use of consultants.

Writing an effective case study, however, is no simple matter, especially given the time constraints on successful practitioners and the space constraints in well-read journals. Walton (1972) offers eleven criteria that both delineate the case study method and serve as guidelines for case writers:

1. Case studies must focus on the novel. Relatively more extensive treatment must be given to those questions or aspects of the situation not already understood.
2. Case study writers must be prepared to develop new concepts and hypotheses so that alternative ways of looking at the change process can be explored.
3. Concepts and hypotheses need to be well-grounded in the data. If concepts and hypotheses are generated, the reader must be in a position to understand how they were derived; hence case study writers must present in a comprehensible form as much descriptive material as possible.
4. The generality and limitations of the concepts and data must be stated. This is ultimately a matter of judgment, but the writer is often in the best situation to speculate on such limitations.
5. Findings must be related to others in the field. There is a real danger that the continual generation of new concepts and hypotheses could undermine the theory construction process unless an effort is made to ensure that case studies are cumulative.
6. Concepts and hypotheses should be integrated into emerging theoretical frameworks. Rather than challenging existing hypotheses and concepts, new concepts should elaborate and enrich existing frameworks where appropriate.
7. The data contained in the case study must be sufficiently detailed so that others can apply different concepts and test alternative hypotheses.
8. Case studies of failure as well as of successful interventions must be developed. Selective reporting is damaging to the viability of case-based theory because of charges of subjectivity and bias, and because of the inherent limitations of a theory when part of the relevant data base is ignored.

9. Case studies, if they are to add to what can be obtained from experimental studies, must provide longitudinal data. The obtrusiveness of many experimental measures limits their practicality for longitudinal assessment. Case study writers must develop alternative, non-obtrusive data collection techniques that allow the change process to be monitored in its entirety.

10. Case studies must describe as rigorously as possible the process aspects of a change effort. Experimental methods are suited, ideally, for examining input-output relationships, but generally are too demanding to use for analyzing process issues.

11. Case studies can make their greatest contribution by conceptualizing and theorizing about the change process, where more rigorous and structured methods are inappropriate.

While these criteria effectively spell out the theoretical demands on case studies, there are additional criteria that will ensure that "the reader of a written case study can be provided a vicarious experience upon which meaningful learning--insight and generalization--can be based" (Berkowitz, 1969, p. 427); namely,

- the reader must be able to identify with persons in the case;
- the case must capture the affective mood and dynamic properties of the situation; and
- the case should separate description from conceptualization and generalization.

These criteria clearly indicate that the generation of effective case studies requires considerable effort. Certainly a case study goes considerably beyond a final consulting report, or a general account of what occurred during the consulting effort.

A fairly thorough analysis of recent journals (1977 to 1980) and an analysis of the cases used in three recent extensive analyses of cases produced 85 cases from 76 original references. The general rules for including a case article were:

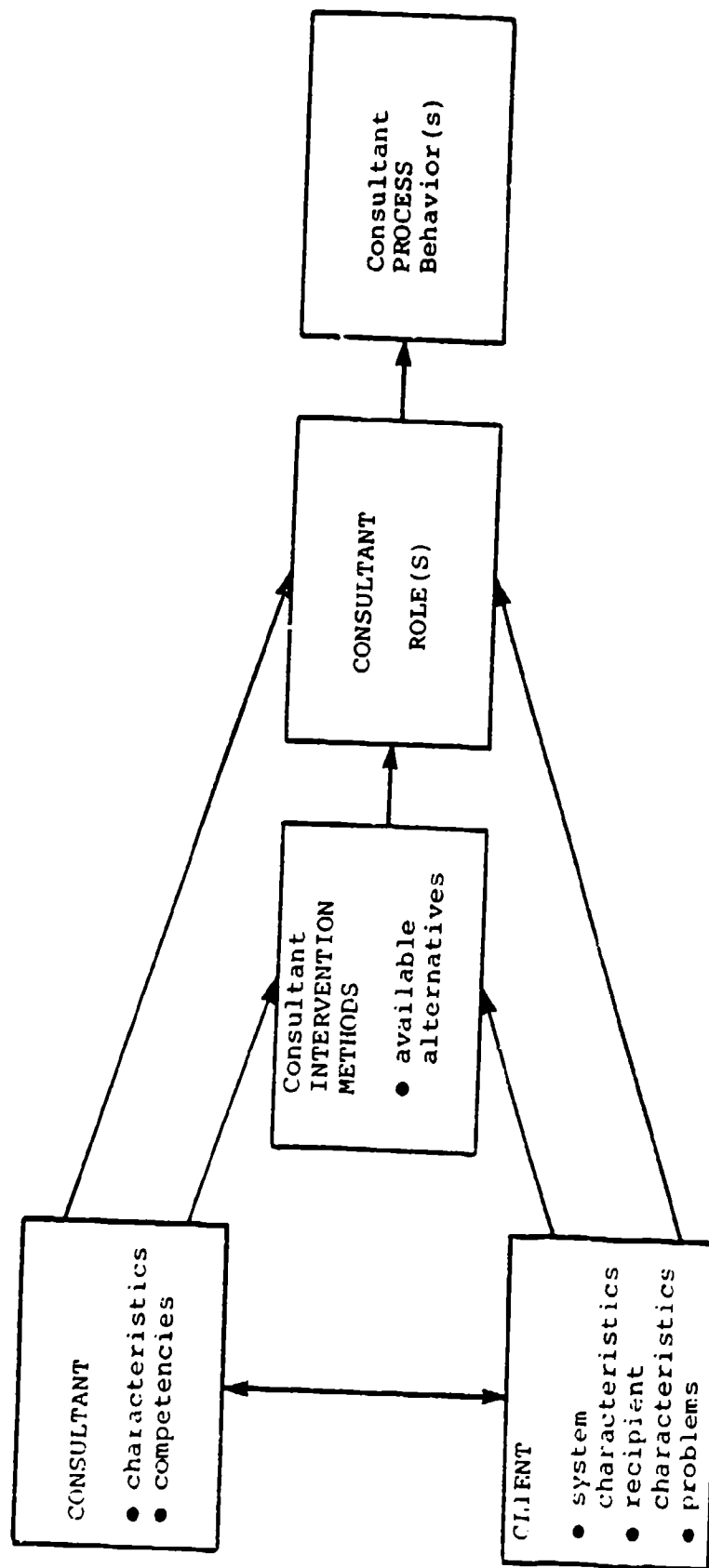
- the existence of a distinctive client, not an experimental or simulated client
- the existence of a consultant role

- some explicit mention of an organizational intervention
- some description of an intervention method

Anecdotes or illustrative examples of change techniques were not included. Additional cases could have been obtained from the job redesign literature (Cummings & Molloy, 1977) and the behavior modification literature (Andrasik, 1979), but both areas tend to generate distinctive types of cases, and wholesale inclusion of such cases would distort the analysis.

The original intention of this analysis was to duplicate Spencer and Cullen's (1979) study of 10 Army OESO cases as a means of specifying the behaviors and competencies needed by effective consultants. The analysis would have represented an update and elaboration of the grounded theory approach to theory development presented by Dunn and Swierczek (1977). The additional cases, however, failed to meet the standards for effective case studies described above. Given the level of detail of many of the coding categories and the general requirement for concrete behavioral data, few of the cases could be scored usefully. As a result, a new analytic framework was devised that combined some of the more general categories of the Spencer and Cullen (1978) taxonomy, an assessment of the overall outcome of the case, and indicators of the specificity of the data in the case. The details of this analytic framework are summarized in Appendix A, and each case is referenced with regard to this framework in Appendix B. The present chapter incorporates these case data in examining the relationship between OE theory and actual outcomes of documented OE interventions.

FIGURE 1.1
Interaction of Consultant Characteristics,
Competencies, and Roles with Situational Determinants



CONSULTANT CHARACTERISTICS

Spencer and Cullen (1978) found that the few studies of consultant characteristics identified could be summarized by five categories of variables: (1) demographic data; (2) values and attitudes (including personal and motivational variables); (3) job-related training or education; (4) amount and type of work experience; and (5) consulting experience. Fifteen articles included information about one or more of these categories. This section examines each category.

Demographic Data

Demographic data include individual characteristics such as age, sex, and race, and education that are not specifically job related. Spencer and Cullen (1978) concluded that there is no evidence to indicate that these demographic variables contribute to a consultant's effectiveness. This conclusion was based on two findings: No published studies examining these variables were found, and one small unpublished study (Spencer, n.d.) showed no significant differences based on sex or race. Further, no theoretical or hypothetical propositions were found in the literature indicating that such demographic characteristics influence a consultant's effectiveness.

Two recent articles suggest that the impact of consultants' demographic characteristics on change efforts merits further study. Miner (1971) reports a retrospective study of successful and unsuccessful consultants in a large management consulting firm. Although the criteria of success imply only consultant effectiveness (i.e., effectiveness is defined as a successful career in the firm), success was significantly correlated with several demographic or background variables. Attending a small private college was positively related to success, while both father's level of education and executive rank were negatively correlated with success. Prior management or business experience also was positively correlated with success.

Durlak (1979) reviewed the comparative effectiveness of professional and paraprofessional helpers and found that sex, age, and status are related to success in a "helper" role. Although obvious differences exist between the target groups served by professional and paraprofessional helpers and those served by organizational consultants, the latter are frequently perceived as requiring skills similar to the skills required by those

engaged in more overtly therapeutic relationships (Truax & Carkhuff, 1966). Durlak concluded that paraprofessionals are consistently equal to or better than professionals in achieving successful outcomes. Moreover, these two groups are demographically different; paraprofessionals tend to be younger, female, from a lower socioeconomic class, and less well educated.

Considered together, these two articles suggest that demographic characteristics of consultants may have some effect on what consultants do and how they do it. It is therefore too early to count out the demographic variables. The empirical effects and theoretical relevance of demographic data is unclear, but the evidence is ambiguous is enough to warrant further empirical study and theorizing.

Values and Attitudes

As Spencer and Cullen (1978) noted, the values and attitudes of the organizational consultant can impact the intervention process in a number of ways. For example, such variables may influence which consultant is selected by the client, which type of client is targeted by a consultant, which intervention technique is chosen by a consultant, and what consultant behaviors are manifested during the change process. Table 1.2 summarizes the current literature on consultants' personal characteristics--their values and attitudes.

Johnston (1979) argues that the individual consultant's values, objectives, and goals will influence both the structure and the content of the entire change process. In agreement with this notion, Pate (1979) finds that although it is often assumed that consultants have only the best interests of their clients at heart, in practice this may not be the only influence on their decisions. For example, a consultant's intentions may be primarily self-focused (e.g., to make money) which would lead to different decisions than if the consultant were focused on the organization's issues. Ganesh (1978) found that the organizational consultant's values will influence the consulting style and intervention approach which are preferred. For example, the consultant who values or focuses on the individual will have a Human Relations orientation and will tend to have a shorter time perspective and limited involvement in the organization. The changes such consultants are involved in concern personal, interpersonal, and group situations. Consultants who focus on task and structure have a Systemic Relationship orientation. They tend to be involved in change efforts which affect the total organization over an extended period of time. Ganesh also suggests the possibility that if the consultants' values are not congruent with the style and approach adopted, this may lead to ineffective consulting.

TABLE 1.2
Consultants' Values and Attitudes

STUDY	PRAKESH, 1968	GANESH, 1978	BLAKE & MOUTON, 1978	WARRICK & DONOVAN, 1979	PARKASH, 1979
POPULATION	OD practitioners in industry n = 48	Leading organizational consultants n = 21	Managers	Leading OD practitioners n = 70	Members OD professional groups n = 486
HUMANISTIC BELIEFS AND VALUES		<ul style="list-style-type: none"> - genuine acceptance of human nature as is - concern with client's welfare 	<ul style="list-style-type: none"> - concern with people 	<ul style="list-style-type: none"> - genuine caring for people 	<ul style="list-style-type: none"> - humanistic beliefs: efforts should be directed toward people - concern with developing individuals and interpersonal relationships
TASK ACCOMPLISHMENT ORIENTATION	<ul style="list-style-type: none"> - task accomplishment orientation (need for achievement) 	<ul style="list-style-type: none"> - preference for solving problems as opposed to fulfilling selfish desires 	<ul style="list-style-type: none"> - concern with outcomes 		
PERSONALITY AND MOTIVATIONAL CHARACTERISTICS	<ul style="list-style-type: none"> - high Ach, Aff, lower Pow 			<ul style="list-style-type: none"> - good rational/emotional balance 	

TABLE 1.2 (cont.)

STUDY	LAMBERT, DeJULIO, & STEIN, 1978	DURLAK, 1979	RODIN & JANIS, 1979	DIMMA, 1977	SLOCUM, 1978
POPULATION	Therapists 18 studies	Professional and paraprofessional helpers 42 studies	Health care practitioners	CEO's n = 116	Consultants n = 152
HUMANISTIC BELIEFS AND VALUES	- warmth, accurate empathy and genuineness	- warmth, accurate empathy and genuineness	- unconditioned positive regard for others		
TASK ACCOMPLISHMENT ORIENTATION				- objectivity - providing a useful product	
PERSONALITY AND MOTIVATIONAL CHARACTERISTICS					- cognitive style (sensing thinkers sensing feelers intuitive thinkers intuitive feelers)

TABLE 1.2 (cont.)

STUDY	MINER, 1971	SPENCER & CULLEN, 1979	BROWNE, COTTON & GOLEMBIEWSKI, 1977
POPULATION	Management Consultants n = 204	OESO's n = 18	OD practitioners n = 335
HUMANISTIC BELIEFS AND VALUES		<ul style="list-style-type: none"> - personal impact on OESO - interpersonal, help people relate better 	
TASK ACCOMPLISHMENT ORIENTATION		<ul style="list-style-type: none"> - achievement, direct concern with task or mission accomplishment results (83% cited) 	
PERSONALITY AND MOTIVATIONAL CHARACTERISTICS	<ul style="list-style-type: none"> - approach motive to be with superiors - upward striving - approach motive to be/have elite associations 		<ul style="list-style-type: none"> - marginal orientation

Although Spencer and Cullen (1978) reviewed literature concerned with the political values and attitudes of consultants, as opposed to professional values, no additional articles addressing this difference of opinion were found. Two articles were found, however, which support earlier findings on professional values and attitudes. In a comparison of descriptions of effective and ineffective consultants, Prakash (1968) found that effective consultants were described as more likely to have a task accomplishment orientation, while ineffective consultants were seen as more likely to operate out of a concern for their own private objectives. Spencer and Cullen (1979) also report data which indicate that a higher percentage of successful consultants cite task achievement as their primary goal for OD interventions. These results support Franklin's (1976) finding that consultant task orientation (as opposed to interpersonal or self) increased the probability of a successful change effort. In addition, Prakash (1968) found that effective consultants were also described as open and perceptive. This implies not only interpersonal skills, but a basic valuing of others.

Prakash's (1979) survey of organization development practitioners' beliefs and activities indicated further evidence of such values. An analysis of beliefs about what activities should be used to achieve the goals of an OD program produced clear evidence that OD practitioners focus heavily on the human element of the organization. They believe that OD activities should be directed toward individuals and their behavior, rather than toward the technostuctural aspects of the organization. Thus, for example, the first factor extracted from the beliefs items taps a dimension of concern for changing interactions and relations between individuals. In a separate survey of organizational change consultants, Warrick and Donovan (1979) found that experts in the field suggested that caring about people is an important value for consultants.

The literature clearly supports the notion that humanistic beliefs and values are preponderant in the field. What is less clear is whether this concern for the individual predicts consultant effectiveness or whether a humanistic concern must be combined with a simultaneous concern for task accomplishment.

There is evidence that, in addition to these values, there are basic attitudes and personality characteristics that may influence effectiveness. McClelland (1975) found that having positive expectations for others predicts consultants' success. In support of this finding, Durlak (1979) reports two articles which found that paraprofessionals have significantly higher levels of empathy, warmth, and genuineness than professionals, which may explain the greater effectiveness of paraprofessionals. Other studies of the helping professions report the importance

of accurate empathy, warmth, and genuineness for the helper (reviewed by Lambert, DeJulio, & Stein, 1978). This evidence gives only modest support to the proposition, however, because of numerous design and methodological problems. In addition, at least two studies suggest that these qualities may not be basic skills or techniques of therapists who follow schools of thought other than the client-centered approach (Lambert, DeJulio, & Stein, 1978). Thus, although the humanists emphasize their importance, the characteristics of accurate empathy, warmth, and genuineness may be of limited predictive value.

Rodin and Janis (1979) propose what may be an explanation for the limitations of such characteristics. They suggest that an individual who is perceived as likeable, benevolent, admirable, and accepting has referent power (i.e., is warm and empathetic). If the consultant has referent power and does not make effective use of it in implementing an intervention, then having such power may work against rather than for the consultant. For example, the consultant may unknowingly model inappropriate or undesirable behaviors to the client leading to an unsuccessful intervention effort.

In addition, Warrick and Donovan (1979) found that OD experts and current practitioners agree that the consultant must be both self-aware and self-disciplined. This applies to being aware of one's position and feelings. It seems likely that both might be important. Warrick and Donovan report that successful consultants display a good balance between the rational and the emotional; that is, they are objective in evaluating the situation but remain in touch with their own feelings.

There is also evidence that organizational consultants differ in terms of cognitive style. Slocum (1978) proposes that the dimensions along which the cognitive styles of consultants differ will determine the ways in which information is gathered and processed, what information is taken in, and how decisions are reached. In order to examine this hypothesis, Slocum used Jung's theory that individuals can take in data from their environment by either of two modes, sensation or intuition, and make decisions in one of two modes, thinking or feeling. The possible combinations of these modes result in four cognitive styles: sensing thinkers, sensing feelers, intuitive thinkers, and intuitive feelers. Slocum grouped consultants into these four styles and then examined the diagnostic information sought and intervention techniques used. As hypothesized, the different cognitive styles require different diagnostic information and use different change strategies. For example, the intuitive thinker rates information about structure as most important, while the sensing thinker rates task information as most important. The intuitive thinker is most likely to try survey

feedback as a change approach while the sensing thinker is more likely to use behavior modification techniques.

Two articles suggest that particular motivation profiles may be associated with the effective consultant. Prakash (1968) found that effective consultants were described as high in achievement and affiliation motivation and low in power motivation. This profile implies a high concern for outcomes (tasks) and concern for people, with less need to have (or an avoidance of) a strong impact on people. Miner (1971), however, concluded that successful consultants have an underlying motive for upward striving, for elite associations, and an approach motive to be with authorities or superiors. Miner also concluded that successful consultants were not necessarily interested in individual task achievement but rather in upward mobility. This upward striving constitutes a form of power motivation, prestige association (McClelland, 1975). In this case, the concern for being with people seems to be specific to superiors, rather than peers as with the affiliation motive. These differences can be attributed in part to the fact that Prakash's sample consisted of organization development consultants, while Miner's consisted of management consultants.

The ultimate relevance of consultants' values, attitudes, and personality characteristics to predicting intervention success remains to be seen. Additional empirical research on such variables must be done to establish their relevance. The available evidence, however, points to the fact that such consultant characteristics will at least influence such things as preference for intervention approach or choice of consulting style.

Job-Related Training or Education

While it is logical to hypothesize that training and performance should be related, the evidence on the effects of consultant knowledge, education, or training on performance is limited and contradictory. For example, Spencer and Cullen (1978) report two studies that conclude that level of training and use of sophisticated models of change are negatively related to success of the effort, at least for internal consultants (cf. Franklin, 1976; Van der Vall, Bolas, & Kang, 1976). This conclusion is supported by studies of consultants in therapeutic settings. Durlak (1979) reviewed a number of treatment outcome studies and concluded that relatively untrained paraprofessionals are equal to or more effective than extensively trained professionals in achieving a favorable clinical outcome. Willis (1978) found that highly trained professionals tend to have more negative perceptions of their clients than do paraprofessionals or lay people

working with similar groups. On the other hand, Miner (1971) found that having an advanced degree and being a graduate of the Harvard Business School were positively related to consultants' success. This is in accord with McClelland's (1975) finding that more effective consultants had a greater knowledge of organizational theory and intervention methods.

A genuine conundrum exists. The evidence is mixed on whether training and education have any demonstrable impact on consultant effectiveness. It might be tempting to conclude that specific training of consultants is irrelevant. However, the studies and training programs reported lack the specificity or sophistication to warrant such a conclusion. The specific nature and impact of consultant education and training require additional empirical assessment.

Amount and Type of Work Experience

Franklin (1976) reported that considerable experience in the personnel field was negatively related to intervention success. On the other hand, a greater knowledge of organizational functioning was conducive to success. Prakash (1968) found that greater familiarity with organizational functioning was related to greater effectiveness as a consultant. Miner (1971) found that three background variables were related to a consultant's success: (1) having been a commissioned officer; (2) having served in the Navy or the Air Force as opposed to the Army; and (3) having occupied a management position in business. This evidence, although not overwhelming, implies that practical experience with organizations and how they function (from a management perspective) is important for the successful consultant.

Consulting Experience

Several articles support the relationship between specific consulting experience and successful change efforts. Prakash (1968) reported that effective consultants were described as having more experience than ineffective consultants. Warrick and Donovan (1979) note that one of the aspects not considered by their survey of practitioners was the need for experience, for "seasoning," and that this is an important factor in successful interventions.

Ganesh (1978) reports that as number of years of consulting increases, so does the consultant's orientation to the Systemic Relationships style. This style is closely associated with the task-structured approach. Age shows the same positive relationship with consultant orientation/style. In a similar study,

Morse (1968) found that the greater amount of time spent at structural or job-enlargement activities, the greater the influence and power of the consultant, the larger the scope of projects worked on, and the higher the level of management worked with by the consultant.

In conclusion, there seem to be data supporting the influence of each category of consultant characteristics: demographic data; values and attitudes; job-related training or education; amount and type of work experience; and consulting experience. All of these findings, however, are based on a few studies, most of which are methodologically limited.

CONSULTANT COMPETENCIES

Few articles were found that systematically assessed the competencies or skills required of the consultant. Even fewer have empirically identified requisite consultant competencies that actually predict successful change efforts (Varney, 1980). Spencer and Cullen (1978) discovered that virtually every systematic study dealt almost exclusively with consultants who utilized interpersonally oriented intervention methods. More recent articles follow this pattern, although several articles were found which include some other intervention techniques. This lack of research leads to a heavy emphasis on interpersonal skills. At the same time, other method-specific skills go unidentified because of the paucity of research on consultants and comparative evaluations of various intervention methods. Furthermore, which competencies are specific to which change methods, and whether certain competencies are required of consultants regardless of intervention method has not yet been established.

The consultant competencies identified in the literature can be organized into four groups, after Spencer and Cullen (1978): (1) rapport-building skills; (2) diagnostic skills; (3) influence skills; and (4) administrative/managerial skills. These competencies, summarized by reference in Table 1.3, seem to be relevant at all points in the change effort.

Rapport-Building Skills

Perhaps the most basic consultant competency is the ability to establish a working relationship with a client. This involves increasing the client's willingness both to deal with potentially threatening information and to accept the risks associated with any new course of action (Spencer & Cullen, 1978). To accomplish these ends effectively, the consultant must demonstrate (1) an understanding of the client's position at all stages of the change process (accurate empathy), (2) a valuing of the client that stops short of being patronizing and goes beyond the grossest forms of instrumentalism (nonpossessive warmth), (3) and personal consistency or congruence (genuineness). A recent note of caution has been sounded by two long-term consultants, however.

TABLE 1.3

Consultant Competencies

STUDY	SAMPLE	RAPPORT-BUILDING SKILLS	DIAGNOSTIC SKILLS	INFLUENCE SKILLS	ADMINISTRATIVE/ MANAGERIAL SKILLS
(A)* BERNIS, 1969	Process/I.P. consultants	- genuineness - forming rela- tionships - sensitivity - listening	- observing - identifying		
(E)* LIBERMAN, VALORI, & HILES, 1973	Encounter groups	- genuineness - forming rela- tionships - caring - listening	- meaning attri- bution	- emotional stimulation	- executive function
(E) MCCLELLAND, 1975	Military internal human resource management consultants	- genuineness - forming rela- tionships - positive expectations - "timing" - group management skills	- diagnostic skills - critical thinking	- presentation skills - marketing	- organizational skills
(A) ANDYRIS, 1970	T-group	- consistent - forming rela- tionships - positive expectations - "timing" - group management skills - nonevaluative		- confidence	

* A = analytical, E = empirical

TABLE 1.3 (cont.)

STUDY	SAMPLE	RAPPORT-BUILDING SKILLS	DIAGNOSTIC SKILLS	INFLUENCE SKILLS	ADMINISTRATIVE/ MANAGERIAL SKILLS
(E) BOLMAR, 1971	T-group	<ul style="list-style-type: none"> - congruent - forming relationships - positive regard - accurate empathy - nonevaluative 		<ul style="list-style-type: none"> - readiness to confront others - feedback 	
(E) KOLB & BOYATZIS, 1974	Individual in T-group	<ul style="list-style-type: none"> - congruent - positive expectations - supportiveness - accurate empathy - nondirective 		<ul style="list-style-type: none"> - positive expectations of success - goal setting - feedback - psychological success 	
(E) TRUAX & CARKHUFF, 1966; CARKHUFF & BERENSON, 1977	Therapist	<ul style="list-style-type: none"> - genuineness - nonpossessive warmth - accurate empathy 		<ul style="list-style-type: none"> - initiating 	
(E) WARRICK & DOROVAN, 1979	"leading" OP practitioners	<ul style="list-style-type: none"> - ability to model prescriptions - genuine caring - positive expectations - general helping skills 	<ul style="list-style-type: none"> - diagnostic skills - synthesize data - conceptualize for client 	<ul style="list-style-type: none"> - ability to identify real needs of client - good communication skills - ability to quickly adapt to changing situation 	<ul style="list-style-type: none"> - management skills

* A = analytical, E = empirical

TABLE 1.1 (Cont.)

STUDY	SAMPLE	REPORT-BUILDING SKILLS	DIAGNOSTIC SKILLS	INFLUENCE SKILLS	ADMINISTRATIVE/ MANAGERIAL SKILLS
(E) WARRICK & DOANAN, 1979 cont.				<ul style="list-style-type: none"> - implementation skills - general knowledge of topics - knowledge of intervention techniques 	
(A) JOHNSTON, 1979	CB practitioners	<ul style="list-style-type: none"> - authentic behavior - genuine caring - intuitive skills - general helping skills 	<ul style="list-style-type: none"> - gathering observable data - diagnosing strengths and weaknesses 	<ul style="list-style-type: none"> - clarifying objectives - communication skills - knowledge of intervention techniques 	
(E) GANESH, 1978	"leading" organization consultants	<ul style="list-style-type: none"> - authentic behavior - concern for client welfare - forming relationships - intuitive skills - interpersonal skills 			
(E) PRAKASH, 1978	CB practitioners in industry	<ul style="list-style-type: none"> - authentic behavior - interpersonal skills - intuitive skills 			

* A = analytical, E = empirical

TABLE 1.3 (cont.)

STUDY	SAMPLE	RAPPORT-BUILDING SKILLS	DIAGNOSTIC SKILLS	INFLUENCE SKILLS	ADMINISTRATIVE/ MANAGERIAL SKILLS
(E) CASH & MINTEK, 1978; CASH & MINTEK, 1979	Organizational consultants	- authentic behavior - interpersonal skills - intuitive skills	- assessing client readiness		
(E) DURLAK, 1979	Professional and paraprofessional helpers	- genuineness - nonpossessive warmth - accurate empathy - interpersonal skills			
(E) LAMBERT, DEJULIO & STEIN, 1976	Therapists	- genuineness - nonpossessive warmth - accurate empathy - interpersonal skills			
(A) RODIN & JARIS, 1979	Health-care practitioners	- genuineness - unconditional positive regard - accurate empathy - interpersonal skills		- referent power used to motivate client	
(A) BECKH, 1978	Managers, manager/ consultant teams	- genuineness - unconditional positive regard - accurate empathy - interpersonal skills			

* A = analytical, E = empirical

TABLE 1.3 (cont.)

STUDY	SAMPLE	REPORT-BUILDING SKILLS	DIAGNOSTIC SKILLS	INFLUENCE SKILLS	ADMINISTRATIVE/ MANAGERIAL SKILLS
(E) MORSE, 1968	OP practitioners and teachers	<ul style="list-style-type: none"> - genuineness - unconditional positive regard - sense of timing - interpersonal skills 			
(E) ZIMMERMAN & WOLFE, 1978	Organizational consultants	<ul style="list-style-type: none"> - genuineness - unconditional positive regard - sense of timing - interpersonal skills 		<ul style="list-style-type: none"> - perceived need on part of client - flexibility of approach, tailored to situation 	<ul style="list-style-type: none"> - "front-end" preparation
(E) SPENCER & CULLEN, 1979	OESOs	<ul style="list-style-type: none"> - genuineness, congruence - positive expectations - accurate empathy - providing reassurance 	<ul style="list-style-type: none"> - accurately identifying problems from assessment data - assessing client readiness - conceptualizing for client 	<ul style="list-style-type: none"> - persistence in contacting - confronting real problems - identifying real goals - ability to modify preferred approach, to learn from feedback - implementation of realistic action steps - presenting meaningful data to clients - creating psychological success 	<ul style="list-style-type: none"> - organizational skills

* A = analytical, E = empirical

Accurate Empathy

Accurate empathy refers to the ability to attend, listen, and respond interestedly and accurately in a way that makes others want to "open up." Empathy involves sensitivity to the content, nature, and intensity of the client's concern. The consultant should be sensitive to the needs of the individual in the system (e.g., the political climate) as well (Warrick & Thompson, 1980). Much of the research that examines this skill is based on the mental health profession or other helping roles (Truax & Carkhuff, 1966; Carkhuff & Berenson, 1976; Lambert, DeJulio, & Stein, 1978; Durlak, 1979). Johnston (1979), however, extends this notion to OD practitioners. He postulates that they need intuitive skills to be aware of clients' emotions (particularly emotional blocks to action). In addition, Spencer and Cullen (1979) found that for internal consultants, accurate empathy was one of two characteristics strongly related to success. In this case accurate empathy was identified as the consultant's ability to listen to and accurately understand the client's needs, objectives, and feelings.

These skills translate into competence in group dynamics management, or what McClelland (1975) calls a sense of timing: recognizing when a group is bored or excited, when someone is talking too much or too little, when it is time to find another exercise or mode of instruction. Berlin (1978) refers to a similar skill when he discusses the importance of managers or manager-consultant teams having a sense of timing and knowing when feedback will be acceptable and useful.

A cautionary note concerning the generalizability of accurate empathy as indicative of consultant competence needs to be made. Lambert, DeJulio, and Stein (1978), in a review of the recent literature on the relationship between therapist skills and outcomes, conclude that there is only modest support for the hypothesis that such factors as accurate empathy or warmth are related to desired outcomes. The studies reviewed make it clear that other unaccounted-for variables contribute to observed outcomes. Moreover, the number of methodological questions in this area of research makes interpretation of both positive and negative findings tentative at best.

Nonpossessive Warmth

Nonpossessive warmth or caring is the consultant's ability to make the client feel genuinely liked and supported. At the same time, the consultant must not be overly protective of the client or inappropriately affectionate. Some degree of objectivity must be maintained. This skill is called genuine caring

by Warrick and Donovan (1979) and concern for the welfare of the client by Ganesh (1978). In describing professional and para-professional mental health workers, Durlak (1979) and Lambert, DeJulio, and Stein (1978) refer to warmth as an important characteristic. Rodin and Janis (1979) refer to a similar skill when they discuss the use of unconditional positive regard by medical practitioners.

A related skill involves the ability to form relationships and build networks of friends and supporters in the client system (Bennis, 1969; McClelland, 1975; Ganesh, 1978; Kelley, 1979). Kelley (1979) describes this as knowing how to penetrate the organization's formal and informal authority groups. Having done this, the consultant must have the ability to gain support from these groups for the new plans and programs being proposed.

This ability to form networks and make contact is predicted by an "integrator" motive profile; this profile is characterized by moderate achievement motivation, moderate to high affiliation motivation, and moderate power motivation (McClelland, 1975; Lawrence & Lorsch, 1969; Kolb & Boyatzis, 1974). Basically this profile describes a personality that is task accomplishment oriented, but sensitive to the needs and feelings of people. Any desire to have an impact on others is thus modulated by a concern for them. Prakash (1968) describes essentially the same motive profile for his effective consultants: high in achievement and affiliation motivation and lower in power motivation.

Also related to the caring ability are the consultants' expectations about the client. It has been stressed by a number of writers that the consultant must have positive expectations about the client's ability to ultimately solve his or her problems (Argyris, 1970; King, 1973; King, 1974; McClelland, 1975; Warrick & Donovan, 1979; Spencer & Cullen, 1979). The effective consultant not only must have positive expectations of the client but must also generate positive expectations on the part of the client about his or her own abilities. Furthermore, there is at least one piece of evidence that negative expectations can create problems for the unwary consultant. Powell and Posner (1978), examining resistance to change, found that it does not always exist, and that in some cases consultants created a resistance to change where none had existed before.

Genuineness

The third major attribute having an impact on the motivation and commitment of the client system has been called genuineness (Truax & Carkhuff, 1966; Lambert, DeJulio, & Stein, 1978; Durlak, 1979; Spencer & Cullen, 1979), consistency (Argyris,

1970; Argyris & Schon, 1974), or congruence (Bolman, 1971; Cooper, 1977; Spencer & Cullen, 1979). Effective consultants must "model" or act in accordance with their prescriptions for the client (Warrick & Donovan, 1979). Johnston (1979) calls this authentic behavior.

Emotional Self-control

A related competency may be the ability to remain neutral, to avoid identification with any particular group (Kochan & Dyer, 1976; Sebring & Duffee, 1977) and to maintain emotional self-control (Spencer & Cullen, 1979). McClelland (1975) calls this self-control "activity inhibition." Others use the concept of marginality orientation to describe this ability (Browne, Cotton, & Golembiewski, 1977; Cotton & Browne, 1978). Spencer and Cullen (1979) found that the successful consultant must maintain an independent perspective. It may be that it is this neutrality that allows the consultant to be warm and caring without being overly protective or inappropriately affectionate. Warrick and Donovan (1979) describe this competence as a cluster of self-awareness, self-discipline, and good rational/emotional balance.

In summary, the ability to establish a helping relationship with clients involves general counseling skills. Warrick and Donovan (1979) list a number of helping skills components, for example, understanding, being a good listener, and being good at checking out perceptions. Prakash (1968) and Ganesh (1978) both note the importance of interpersonal skills for the effective consultant. In addition, Spencer and Cullen (1979) find that the successful consultant must be able to provide reassurance to the client about such issues as confidentiality of information and anonymity.

Diagnostic Skills

Diagnostic skills refer to the ability to generate, collect, and analyze information about a client system. Diagnostic skills involve (1) knowledge of organizational theory and intervention methods and (2) analytic or conceptual skills.

Knowledge

Knowledge competencies are important in providing consultants with both diagnostic frameworks and intervention alternatives. There are three different categories of knowledge that a consultant may have: (1) general business and management

topics; (2) expertise in some specific area; and (3) specific knowledge of OD intervention techniques and theories. Warrick and Donovan (1979) list a number of general management and business topics the successful consultant should be familiar with, such as finance, marketing, management information services, and budgeting. Kelley (1979) also notes that to be successful, the internal consultant should stay "on the leading edge of new management theory and practice."

Dimma (1977) found expertise to be one of the consultant attributes most valued by top management of clients. Turney and Cohen (1978) found that knowledge of specific characteristics of the organization and its structure were particularly useful. Spencer and Cullen (1979) found that lack of "expert power" was most often cited as a cause of consultant ineffectiveness. Unsuccessful respondents cited their inability to explain to clients what they were doing and lack of credibility as an expert as the reasons for failure of their OD intervention efforts. Apparently, successful consultants must have the ability to answer a client's technical questions and explain why they are implementing or recommending specific intervention steps.

Knowledge of specific OD intervention techniques and theories is, of course, of utmost importance to the consultant (Warrick & Donovan, 1979; Johnston, 1979). Warrick and Donovan list a number of theoretical (content area) and practical topics, including knowledge of OD, organizational behavior, current developments in OD, and specific techniques such as team building and process consultation.

Analytic or Conceptual Skills

This category includes two specific skills: (1) the ability to observe all relevant aspects of a situation, a skill sometimes called "attention to detail" (McClelland, 1975); and (2) critical thinking, the cognitive ability to discern important points in a mass of undifferentiated data, to make critical distinctions, and to support inferences with specific evidence. Warrick and Donovan (1979) list the general skill of diagnosing the organization. Johnston (1979) breaks the skill down into gathering observable data and then diagnosing the organization's strengths and weaknesses. Another aspect of attention to detail is the ability to assess accurately a client's readiness to begin an intervention effort (Spencer & Cullen, 1979). Effective scouting can prevent the consultant from attempting to initiate an intervention before the client is prepared to accept it. This scouting or evaluation of readiness can also help the consultant decide what kind of intervention or what consultant role will be most appropriate and effective with the client (Cash & Minter, 1979).

Once the appropriate data are gathered, the consultant must be able to synthesize it (Warrick & Donovan, 1979). Spencer and Cullen (1979) found that diagnostic skills involve the consultant's ability to identify accurately problems from the assessment data and to conceptualize for the client. Successful intervention efforts were found to have included the presentation of problem data to the client that were clear, parsimonious, and easily understandable.

In addition to the purely cognitive diagnostic skills of observation and initial analysis, some authors note that the empathic sense of timing is also important in diagnosis (Spencer & Cullen, 1978). Empathic timing includes not only the assessment of client readiness mentioned above, but also the willingness or readiness of the consultant to listen to the client's objections. Failure of this ability can lead the consultant to be ineffective, even when problem diagnosis is accurate.

Influence Skills

Consultants initiate, or facilitate, change by helping the client identify problems and feel a need for change, formulating specific action steps for attaining the desired goals, providing clients with "coaching" assistance in implementing the change steps, and creating opportunities for psychological success for the client. A significant component of initiation has to do with the consultant's skill in influencing the client to take action in the consultant's absence and to develop ownership of the intervention. Six specific competencies have been identified in this category of skills: (1) motivate, (2) contract, negotiate, set goals, (3) be flexible, (4) implement, (5) use feedback, and (6) outcome orientation.

Motivate

Even in collaborative approaches, the consultant must motivate the client to change and gain the client's commitment to the change effort. Lieberman, Yalom, and Miles (1973) describe this as emotional stimulation, the ability to arouse the client's feelings about some problem or course of action. Zimmerman and Tobia (1978) note that there must be a perceived need on the part of the client if a change effort is to be successful. Kelley (1979) describes successful internal consultants as having the ability to gain support for new plans and programs. Spencer and Cullen (1979) found that persistence, the willingness to continue to contact, present options to, or follow up with the client (i.e., to motivate the client), was predictive

of success. This sample of internal consultants reported that success in some cases resulted only after four or five attempted interventions.

Contract, negotiate, set goals

This set of competencies involves the consultant's ability to establish with the client a clear understanding of what both parties agree to do over the course of an intervention (Spencer & Cullen, 1979); identifying a change goal, an ideal or desired condition, that is challenging but realistic (Carkhuff, 1969; Kolb & Boyatzis, 1974). Skill in goal setting may well be related to the diagnostic skills of the consultant: the more accurate the picture of the client system the consultant can construct, the better able he or she will be to help the client set challenging and meaningful goals.

Spencer and Cullen (1979) found that although consultants tend to believe strongly that clear original contracts lead to successful interventions, what is really important in contracting is the consultant's accurate moment-to-moment perception of and congruence with the client's needs. Clear contracts do not lead to success when they are about the wrong issues. Furthermore, the best consultants continually recontract with their clients as they respond to the clients' changing situation. OD consultants must continually establish and work with a "living contract" that changes as the client's needs change.

Related competencies are described as presentation, didactic, or marketing skills. Presentation skills are needed by the consultant in entry, training, data feedback, and problem-solving activities. Successful entry and development of client top management support can be helped by the consultant's ability to present skillfully what he or she has done in the past or proposes to do in the current situation. For example, Howe, Mindell, and Simmons (1978) suggest that consultants should be able to use marketing strategies to introduce innovations. Training effectiveness requires skill in stand-up public speaking, which involves the ability to present new ideas in a lively and persuasive manner. Clients may need to be sold on the validity or relevance of feedback data or proposed solutions to the identified problems. All of these skills depend on the consultant's communicative skills (Johnston, 1979; Warrick & Donovan, 1979), such as listening, writing and speaking, and being able to understand and communicate various ideas, theories, and programs.

Be flexible

This competency is related to the ability to recontract. It is the consultant's ability to adapt quickly to the changing situation (Warrick & Donovan, 1979), to be flexible in approach, and to be able to tailor change strategies to the specific client situation (Zimmerman & Tobia, 1978). This may mean the ability and/or willingness to modify a preferred approach (Kanter, 1977; Spencer & Cullen, 1979). For example, Kanter notes that different group compositions may necessitate such modification; the approach used with an all-male group may not work if the group includes women. Lavoie and Culbert (1978) suggest that different organizations or subunits of an organization may function at different levels of development, and that different strategies of intervention will be appropriate for different stages.

Flexibility can also connote the ability to hear and learn from feedback; to "see when something's not working and change it fast" (Spencer & Cullen, 1979). This competency is related to the accurate empathy and goal congruence skills cited above, under "Rapport-Building Skills," and to knowledge skills. (It is difficult to be flexible if one's repertoire of techniques is limited: the more methods at a consultant's disposal, the easier it is to be flexible in recommending alternatives.)

Implement

This is the ability to propose to and coach clients in the implementation of realistic action steps to achieve the desired goal. Warrick and Donovan (1979) list a number of specific implementation skills which a consultant should have, including process consultation, team building, conflict resolution, and training and development skills. The identification of realistic action steps should be emphasized. Spencer and Cullen (1979) found that consultants who were able to help the client identify specific problem-solving action steps that the client had the power or the resources to implement were much more likely to document actual results from their OD efforts. Consultants who either did not get their clients to identify specific action steps for improvement or abetted clients in developing unrealistic steps (i.e., actions that the client did not have much control over due to lack of resources or power) were likely to fail. This skill was the most often cited predictor of success or failure by this sample of practicing consultants.

Use feedback

The ability to present feedback to the client can take three different forms: (1) the ability to present clearly information that has been collected (e.g., in the diagnostic phase of an intervention); (2) the ability to address the real problem even when the client does not want to face it; and (3) the ability to let the client know how he or she is progressing with respect to the goal. (As Berlin [1978] points out, this ability must include providing feedback at a time when it can be acted upon, or it isn't worth much to the client.) Spencer and Cullen (1979) found that in successful interventions consultants reported presenting only a few specific problem statements supported by accurate data. This aspect of the competency obviously is related to the diagnostic skills of critical thinking and synthesizing data.

Likewise, Spencer and Cullen (1979) found that in successful interventions the consultant must confront the real problem and provide supporting data for the diagnosis, even if the client is resistant to the diagnosis or the data. Confrontation in this sense means intellectual honesty: presenting the data in a straightforward, unemotional manner. A consultant's emotional self-control or neutrality, avoiding the role of advocate (i.e., using the data to promote the consultant's own agenda) and not presenting problem data in a punitive fashion, seem critical. This ability to present clients with meaningful feedback data appears to be one of the most important competencies in predicting the success of OD interventions.

Once a challenging and realistic goal has been determined, consultants can facilitate the change process by providing clients with accurate feedback on their progress with respect to the goal. Feedback, regardless of its form, must be helpful and reinforcing. This draws on the consultant's ability both to understand where the client is (to empathize) and to generate accurate data (to diagnose). The ability to provide accurate and helpful feedback includes the willingness to confront the client with negative as well as positive feedback. If the consultant does not provide negative feedback, the client may pursue inappropriate goals or ineffectively pursue appropriate ones. Negative feedback allows for a reassessment of the client's ability to meet a given goal. Feedback given over time also allows for reassessment of the appropriateness of the original goals.

Outcome orientation

This competency involves having standards for and concern about the documentation of the outcome(s) of an OD effort.

Spencer and Cullen (1979) found that consultants who thought in terms of results were more likely to: (a) identify and present assessment data in a format that suggested implementation opportunities; (b) suggest and coach clients in implementation of specific, realistic implementation steps; and (c) be able to recall and document process and outcome results. In other words, consultants who were concerned about, and looked for, hard results were able to document their outcomes.

Another aspect of this competency involves the consultant's ability to create opportunities for the client to experience psychological success (Carkhuff & Berenson, 1976). Anticipation of the experience of psychological success increases client motivation and commitment to the change process and increases the likelihood of a successful intervention effort (Spencer & Cullen, 1978). Consultants can create feelings of psychological success by providing examples of successful interventions in analogous settings; initially selecting change goals that clients have a high probability of accomplishing; getting some "wins" early in the change process; and generally reinforcing any change behaviors by the client. It can be seen that this ability is related to the expression of positive expectations, and contributes to building a good relationship with the client as well as to initiating and motivating change.

Administrative Managerial Skills

A number of articles present data to indicate that effective consultants have "executive function" or organization and management skills (Lieberman, Yalom, & Miles, 1973; McClelland, 1975; Spencer & Cullen, 1979; Warrick & Donovan, 1979). Consultants are frequently responsible for organizing projects of considerable size in terms of funds, materials, number of individuals involved, and complex schedules of activities. A large-scale survey or training program, for example, can require considerable coordinating skill. Moreover, the more complex the client problem and/or system, the more a consultant is likely to need competence in project management.

Spencer and Cullen (1979) identified four competencies in the category of administrative/managerial skills: the consultant's ability to (1) plan and organize projects; (2) manage funds, materials, and participants involved in complex schedules of operation activities (administration); (3) manage group process in specific intervention activities; and (4) work effectively in teams with fellow consultants.

Planning

This involves the consultant's ability and/or motivation to prepare thoroughly and to formulate contingency plans for the intervention effort. Zimmerman and Tobia (1978) emphasize the importance of "front end" preparation time, studying the problem before entering the client system. In addition, Spencer and Cullen (1979) point out that the successful consultant plans for what could go right as well as for what could go wrong.

Administration

This is the ability to manage the details of OD operations, for example, scheduling people and space, coordinating materials, and overseeing data processing. Warrick and Donovan (1979) describe some of the variety of programs the consultant should be able to manage: long-range training, intervention, and follow-up. Spencer and Cullen (1979) found that OD efforts tend to be successful when the administrative tasks are conducted smoothly.

Manage group process

This describes the consultant's ability to manage group process in seminars or training programs. This includes, for example, the ability to confront or control disruptive members of groups, encourage the participation of silent members, and keep groups on the desired track.

Consultant teams

When consultants work in teams, individual consultants must plan and work collaboratively with fellow team members. Smooth team functioning in front of the client (e.g., avoiding open disagreement) seems particularly important, but depending on the particular intervention techniques being used, even subtle conflict may lead to the failure of the intervention.

Evidence from Case Studies

For reasons apparently inherent in the methodology of case studies (see Appendix A, "Analytic Framework for Case Study Evidence"), all successful cases that could be coded for causal factors were attributed to choice of appropriate methods, and all failures to consultant or client characteristics, competency, structure, or process variables. In 15 of 85 case

studies reviewed, the specific consultant or consultant-client factors that caused the intervention to fail could be identified. As discussed in Appendix A, the lack of detail about specific consultant behaviors reported in these cases leaves the data open to interpretation. Many of the factors reported as causing failure could be interpreted as lack of client top management support. These factors can also be interpreted as a failure of the consultant to adapt to and work with the political realities of the client system. Ten of the 15 cases fall into this category. In another five cases, there are clear indications that the consultants did not know what they were doing. These data, although limited, emphasize the need to examine how successful consultants actually operate, particularly in terms of establishing, maintaining, and developing the political support needed to avoid failure.

Table 1.4 categorizes the case study factors associated with intervention failure by competency group. Consultants appear to fail most often when they (1) are ineffective in influencing their clients, either in negotiating a clear role "contract" or in persuading the client to continue with the intervention process; (2) do not accurately diagnose their clients' needs or problems; (3) are unable to establish a sense of trust, empathy, and perceived neutrality (i.e., rapport building). Administrative/managerial skills appear less important in causing failure. If anything, the case data emphasize the importance of consultant influence skills at every step in the intervention process: in being sensitive to political considerations and negotiating a clear role in the rapport-building phase, in identifying influence networks and pressures during diagnosis, and in using influence skillfully to implement the planning and action phases of the intervention.

TABLE 1.4

Factors Associated with Intervention Failure in Case Studies

Study	Factors Associated with Failure	Deficient Competency
Berg (1977)	- Consultant incompetent--fails to identify pressing issue	Diagnostic
	- Consultant chooses "wrong" sponsor	Influence
Brown et al. (1974)	- Consultants not perceived as neutral	Rapport-building
	- Consultants unable to work out logistics	Administrative
Clark (1972)	- Consultant started working with lower levels in organization without clearing it with intervening levels	Rapport-Building (Diagnostic?)
Culbert (1972)	- Consultants unable to persuade client to collect additional data	Influence
Culbert & McDonough (1977)	- Consultants failed to uncover latent client concerns	Rapport-building or Diagnostic
Frank & Hackman (1977)	- Consultants failed to ensure implementation of change	Influence
Glaser (1977c)	- Consultant failed to confront ambiguous client-consultant relationship	Influence

Table 1.4 (continued)

Glaser (1977d)	- Initial change strategy never accepted by client	Influence
Landay (1978)	- Client system differed on role of consultant	? Influence Contracting
Lewicki (1977)	- Consultant sees self as too nondirective	Influence
	- No specific client need	? Diagnostic
Lewicki & Alderfer (1973)	- Consultants unable to persuade union that they were neutral	Rapport-building Influence
McMillan (1975)	- Consultants incompetent:	
	o ignorant of school system	Diagnostic Knowledge
	o act as if superior to client	Rapport-building
Randolph & Edwards (1978, 1979)	- External consultant inexperienced	Diagnostic Knowledge
	- Internal consultant held additional responsibilities	Administrative
Schemerhorn & Barrilleaux (1978)	- Consultants' roles never clarified	? Influence Contracting
	- Consultants look for problems	Diagnostic
Sebring & Duffee (1977)	- Consultants caught in difficult political situation	Influence

Table 1.4 (continued)

Summary

<u>Competency Group</u>	<u>Frequency and Percentage Deficit Cited as Cause of Failure</u>	
	<u>Frequency</u>	<u>Percentage</u>
Rapport Building	6	24
Diagnosis	7	28
Influence	10	40
Administrative/Managerial	2	8

CONSULTANT ROLE DIMENSIONS

Role typologies are the most common method of conceptualizing the characteristics, competencies, and behaviors of consultants. "Role," as used in the literature, is a somewhat nebulous concept: it is not clear whether a consultant's role is (1) what he or she is (individual characteristic and competency variables), (2) what he or she does (task or behavior variables), (3) what position he or she occupies with respect to the client (situational or system variables), or (4) some combination of these (a dynamic interaction variable).

Figure 1.2 illustrates these four ways of defining "role" and their possible interactions. Examples of role descriptions are listed within each circle, and within each area of overlap. This list is not meant to be exhaustive; it only suggests the range of descriptions used by various authors. As we have already treated individual characteristics and competencies in the previous sections, we turn our attention to the literature on other conceptions of consultant roles.

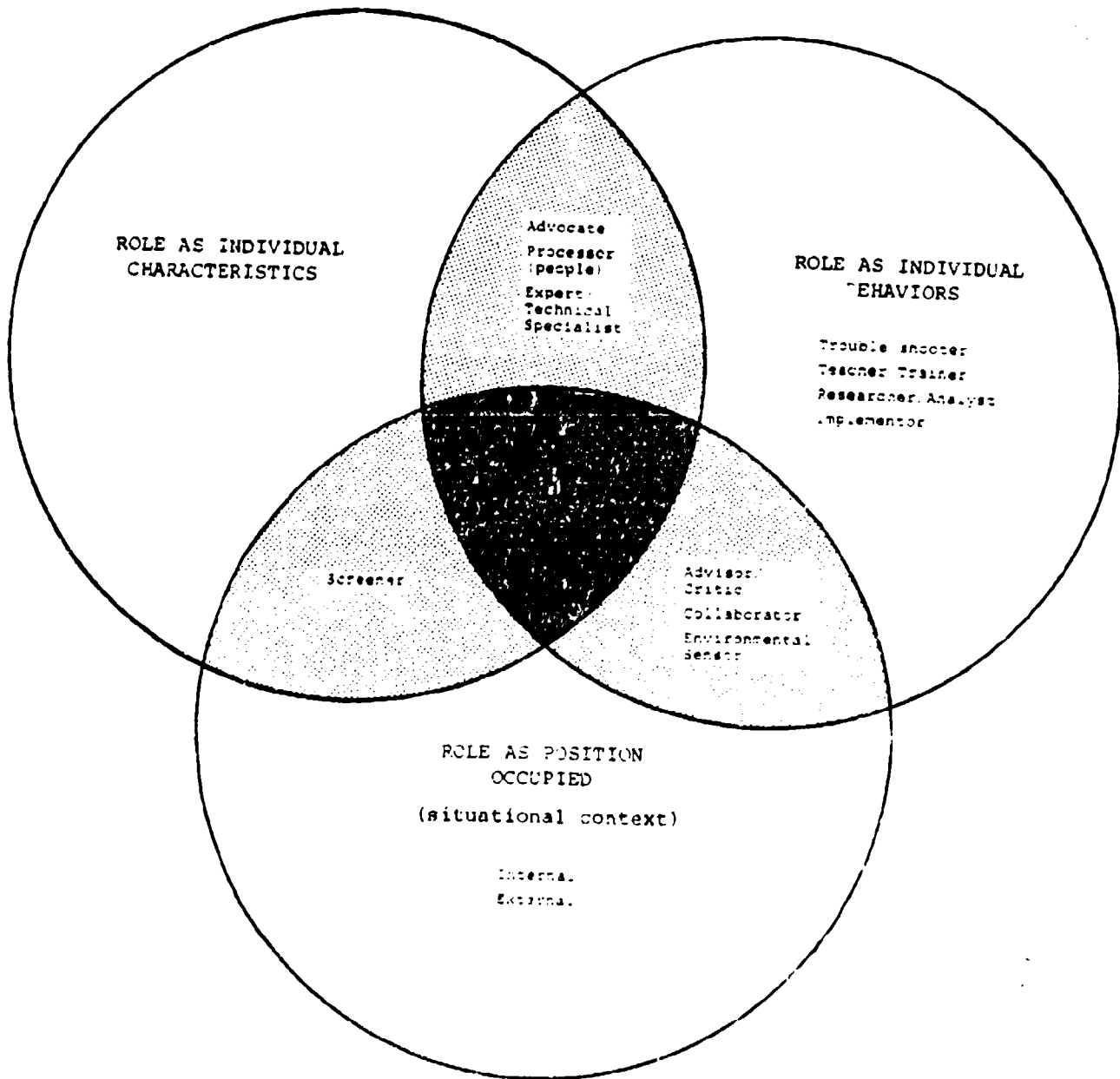
Role as Position Occupied: "Internal" vs. "External" Locus

The classic issue of internal versus external roles for OD consultants is a good example of "role" defined as the position the consultant occupies with respect to the client. In this case the consultant's primary organizational affiliation defines the role. The particular position a consultant occupies with respect to the client may be further specified by amount of time spent doing OD consultation; i.e., a consultant may be full-time or part-time.

Research into the differences and similarities between internal and external OD practitioners and into the reasons an individual becomes one or the other has been minimal (Huse, 1975; Cotton & Browne, 1978). There is some evidence (Lundberg & Raia, 1976) that there are perceptual, diagnostic, tactical, value, and power differences between internal and external consultants.

Recently, Browne, Cotton, and Golembiewski (1977) investigated OD practitioners' perceptions of their own marginality. Traditionally, marginality is defined as standing on the boundary between two or more groups with differing value systems, goals, and behavior patterns. They found that the sample of

FIGURE 1.2
Role Definitions of Consultants



external OD practitioners exhibited a high marginal orientation more frequently than did the internal OD practitioners. When the external consultants were divided into marginals and non-marginals there were no significant differences on five background characteristics (age, education, percent of time in OD activities, years of OD experience, and years of OD Network membership). Among the internals, however, the marginals reported more years of OD experience and more years of OD Network membership than did the nonmarginals. There were no significant differences between these two internal groups in terms of age, education, or percentage of time spent in OD activities.

Cotton and Browne (1978) compared the same background characteristics between internal and external consultants. They found that external consultants differed significantly from internal consultants on four of the five background variables. The external consultants were older than the internal consultants and had a higher level of educational attainment (more than 50 percent of the external consultants held a doctorate, while less than 15 percent of the internal consultants did). In addition, the external OD practitioners reported spending a greater percentage of their time on OD activities, more years of OD experience, and longer membership in the OD Network.

Evidence from Case Studies

The location of a consultant has frequently been identified as an important contributor to the success of a change effort (Van der Vall, Bolas, & Kang, 1976). Dunn and Swierczek (1977), however, found little support for this contention. Tabulation of data from 85 case studies suggests a partial compromise between these two positions. Table 1.5 indicates that a team comprising both internal and external consultants has a moderately greater chance of success and a lower rate of failure.

Teams composed of internal and external consultants offer the strengths ascribed to each role--sensitivity to organizational politics and on-line logistical support--while at the same time providing specialized expertise and a wider frame of reference.

Role as Tasks and Behaviors

"Role" is often defined by authors as clusters of individual behaviors--what the consultant does--rather than by organizational affiliation or other situational variables. Table 1.6 lists definitions of various roles as defined by different

Table 1.5

Case Study Data on Intervention

Outcomes by Location of Consultants

	Success	Limited Success	Failure	Unclear	Total	Percent Success	Percent Failure
Internal	2			1	3	67%	0%
External	20	15	13	17	65	31%	20%
Internal/ External	8	4	2	3	17	47%	12%
Total	30	19	15	21			

TABLE 1.6

Consultant Roles Referenced by Author

Havelock & Havelock (1973)

Catalyst: Consultant brings pressure to bear on client system to confront its problems.

Solution Giver: Consultant, who has predeveloped, packaged solutions to widespread problems experienced by clients, attempts to persuade client to adopt his or her solution.

Process Helper: Consultant intervenes to help clients solve their own problems.

Resource Linker: Consultant provides client with access to scarce resources, be they informational, material, financial, or personnel.

Sashkin et al. (1973)

Consultant: Consultant links knowledge sources to clients, diagnoses client system needs, and recommends uses for knowledge.

Trainer: Consultant helps clients use knowledge retrieval methods to utilize the data in planning changes, and helps clients learn new skills for implementing and evaluating change.

Research: Consultant helps clients evaluate the effects of knowledge use and diagnoses the total process of change, including his or her own activities. He or she feeds new knowledge gained into a larger nonclient knowledge bank.

Clark (1975)

Collaborative: The tasks of diagnosing, planning, and action are all undertaken jointly, with the consultant admitting his or her limited knowledge of clients' situation and problems. The consultant continuously strives for a balance of power among participants.

Unilateral Expert: The consultant acting as an expert gives advice to clients, which he or she tries to persuade clients to accept on the basis of his or her prestige, expertise, or support from others in the system.

Delegated: The consultant trains clients to recognize and diagnose particular problems through the application of a research technology. Clients are typically in control of the entire process and its evaluation.

Table 1.6 (cont.)

Subordinate Technician: Clients specify the service required from the consultant. The consultant undertakes studies to discover the information required and sends this to clients, who decide on the next step.

Munger, Spencer, & Thomson (1976)

Expert: Consultant delivers standard survey-guided development sequence, as mandated by top management directive, to all clients irrespective of client characteristics or problems. Interpersonal processing is kept to a minimum. The survey data drives the process.

Resource: Consultant uses survey-guided development sequence flexibly, depending on clients' sense of their own problems and unique situation. Moderate interpersonal processing. The client's perception of his or her own problem drives the process.

Process: Consultant uses role negotiation, conflict resolution and other interpersonal process consultation techniques to deal with client problems and feelings. Interpersonal processing is high. Group dynamics in the here and now drives the process.

Tichy (1977)

People Change Technology: Operating under the auspices of top management, the consultant introduces and runs individually-oriented change programs for the purpose of improving individual and organizational performance.

Organization Development: Operating under the auspices of top management, the consultant works collaboratively with groups within the organization to change group functioning and group norms. While the purpose is to increase performance, there is a fairly explicit avowal of liberal political and social values.

Analysis for the Top: Operating under the auspices of top management and working with top management problems, the consultant utilizes management science techniques to generate recommendations for top management, which acts upon those recommendations.

Kelley (1979)

Troubleshooter: The consultant investigates a problem, locates the source of the trouble, and resolves it in some way.

Table 1.6 (cont.)

Environmental Sensor: The consultant functions as an early warning system, helping to prevent or minimize problems, and monitors the external and internal business, social, and personal environments of the organization to prevent future problems.

Teacher: The consultant conducts training programs or uses daily contact to educate clients.

Researcher-analyst: The consultant produces data and makes recommendations concerning noncrisis situations.

Implementer: The consultant makes recommendations and then puts them into effect, or at least oversees the implementation.

Advisor-critic: The consultant acts as a sounding board for new ideas or problems, as an objective critic of ideas or functioning, and/or as a counselor for career or personal concerns.

Screeners: The internal consultant screens, interfaces with, and evaluates external consultants; helps select a qualified external consultant when internal staff cannot handle the problem. Screeners can also help prevent excessive dependence on external consultants.

TABLE 1.7
Typology of Consultant Roles

ROLE STUDY	ADVOCATE/ CONFRONTER	EXPERT RESOURCE LINKER/ RESEARCHER	TRAINER/ EDUCATOR	COLLABORATOR IN PROBLEM SOLVING	PROCESSOR (PEOPLE)
HAVELOCK & HAVELOCK (1973)	Catalyst	Solution giver Resource linker			Process helper
SASHKIN ET AL. (1973)		Knowledge linker Researcher	Trainer	Consultant	
CLARK (1975)	(Unilateral expert) *	Unilateral expert Subordinate technician	Delegated	Collaborative (Delegated)	(Collabora- tive)
LIPPITT & LIPPITT (1975)	Advocate	Technical specialist Fact finder	Trainer/ educator	Collaborator in problem solving Alternative finder	Process specialist Reflector
BLAKE & MOUTON (1976)	Confrontative	Prescriptive	Theory and principles	Catalyst	Acceptant
RUSH (1976)	Marshalling powers and taking steps to get this done			Solving problems and making decisions	Building personality strengths and self- understanding
MUNGER, SPENCER, & THOMSON (1976)	"Social advocates"	(Expert)		Expert resource "Client centered"	Process (Resource)
BROWNE, COTTON, & GOLEMBIEWSKI (1977)	Advocate	Technical specialist Fact finder	Trainer/ educator	Collaborator Alternative identifier	Reflector Process specialist
TICHY (1977)		Analysis at the top	(People change technology)	Organization development	People change technology

rial in parentheses coded under two categories

Table 1.7 (cont.)

ROLE STUDY	ADVOCATE/ CONFRONTER	EXPERT RESOURCE LINKER/ RESEARCHER	TRAINER/ EDUCATOR	COLLABORATOR IN PROBLEM SOLVING	PROCESSOR (PEOPLE)
PINTO & WALKER (1978)		Resource manager Needs analysis and diagnosis	Classroom, on-the-job training	Group and organization development	Individual counseling
TICHY & NISBERG (1978)	Outside pressure type	Analysis-for- the-top type	(People change technology type)	Organization development type	People change technology type
BAKER (1979)		Expert Resource person	Trainer	Catalyst (Facilitator)	Facilitator
BLAKE & MOUTON (1979)	(Catalyst)	Expert- centered Helper	Guru	Catalyst (Facilitator)	(Confidante) (Facilitator)
CASH & MINTER (1979)	(Expert authority)	Expert authority ("doctor- patient")		Process consultation	
KELLEY (1979)		Advisor- critic trouble shooter Researcher- analyst	Teacher	(Implementer)	

authors. These roles, however, can be reduced to five types, or categories. As was true of our typology of consultant competencies, this role typology is not meant to be exhaustive. Five general categories can be distinguished, in order of decreasing directiveness and task orientation and increasing consultant-client collaboration and focus on interpersonal issues: (1) the advocate or confronter, (2) the expert, (3) the trainer or educator, (4) the collaborator in problem solving, and (5) the processor. These categories are cross-referenced with the studies summarized in Table 1.6 and the results are presented in Table 1.7.

The Advocate or Confronter

This is a consultant who (1) unilaterally confronts or rejects a client's existing beliefs or ways of doing things irrespective of the client's own sense of his or her felt needs or problems, then, (2) using techniques ranging from persuasion and moral argument to threats and coercion, advocates that the client adopt new attitudes or behaviors. Examples of this type of consultant role include affirmative-action/race-relations facilitators and "militant" humanistic psychologists.

The Expert

This is a consultant who supplies specific technical advice to a client from a position of superior expertise, position, or prestige. The expert-client relationship is usually described in relatively cut-and-dried terms: The expert does not condescend to clients nor attempt to force his or her views, but merely provides information on demand. One type of expert role is that of the resource linker, a consultant who can secure financial, material, knowledge, or other resources for the client. An example of this might be a prestigious external consultant brought in to advise top management on corporate policy. A second type of expert role is the researcher or subordinate technician, a relatively junior consultant tasked with collecting data or proposing alternatives in a specific area. Another example would be a consulting engineer hired to provide a structural appraisal of a building.

The Trainer or Educator

This is a consultant who functions primarily as a teacher, using structured workshops or management development courses as the principal mode of intervention, with clients assuming a student role.

The Collaborator in Problem-Solving

This is a consultant who acts as a catalyst, helping clients identify and generate solutions to task or interpersonal problems in a collaborative way. Most consultants using survey-guided development or task-process consultation methods function in this role.

The Processor

This is a consultant who focuses primarily on interpersonal relationships, as opposed to task or content issues. He or she intervenes by being supportive and caring, reflecting on or processing individual behaviors and group dynamics, or directly counseling client personnel.

Several authors observe that consultants can adopt different roles over the course of an intervention (Havelock & Havelock, 1973; Kelley, 1979; Lippitt & Lippitt, 1975; Sashkin et al., 1977). Sashkin et al. assert that "the complete consultant performs all of these activities." Consultants often must adapt their roles to meet the demands of specific clients, problems, or situations. Consultants may initially collaborate with clients in solving problems, then conduct training programs for subordinate personnel, process follow-up meetings, and conclude by supporting client efforts with occasional expert advice.

While consultants can adopt a range of roles, this does not mean that all consultants are sufficiently flexible to do this or that client systems provide the opportunity for consultants to take different roles. Some consultants specialize exclusively in the trainer role; others lack the access or stature to provide advice to top management. Together, Figures 1.1 and 1.2 provide an illustration of the ways in which individual characteristic and competency variables and situational constraints interact to determine the roles a consultant can take.

Evidence from Case Studies

Tabulation of data from 85 case studies (Table 1.8) indicates that the role chosen by a consultant makes a difference to the success of a change effort. Experts are considerably more successful and less prone to failure than are collaborators and trainers. There is some indication that the collaborative role not only does not guarantee success but also seems to be associated with failure more frequently than are other roles. This runs counter to the normative theories of change (Bennis, 1973; Clark, 1972), the empirical data reported by Dunn and

TABLE 1.8
Case Study Data on Intervention
Outcomes by Consultant Role

	Success	Limited Success	Failure	Unclear	Total	Percent Success	Percent Failure
Advocate	1	1			2	50%	0%
Expert	13	6	1	3	23	56%	4%
Trainer	2	6		9	17	12%	0%
Collaborator	8	5	12	6	31	26%	39%
Interpersonal Processor	3	0	2	2	7	43%	29%
Unknown	3	1		1	5	60%	0%
Total	30	19	15	21			

Swierczek (1977), and Spencer and Cullen's findings that the collaborative role was somewhat positively and the advocate role negatively associated with intervention success in U.S. Army units.

One explanation for these results is that clients in many instances need not only someone to help them work through issues by collecting, reformulating, and presenting data, but also concrete expertise-based solutions to particular problems. The analysis of intervention methods by outcome, presented in the concluding section of this chapter, lends additional support to this hypothesis. Job redesign and organizational design have the highest success rates and the lowest failure rates of any intervention approach. Process consultation, a method that is highly dependent upon a collaborative approach, has the lowest success ratio.

These findings do not necessarily invalidate the collaborative approach. Argyris and Schon (1974) note that it is exceptionally difficult to be truly collaborative and to be effective utilizing a process consultation approach to change. The demands of the role and the method are beyond the abilities of most consultants. Given this situation, it may be easier to help clients as an expert than to help clients help themselves.

Role as a Dynamic Interaction

One method of assessing the dynamic aspects of consultant role taking in situations is to identify dimensions on which roles can vary. Nine such dimensions, grouped under four headings--(1) Expertise, (2) Stance, (3) Focus, and (4) Approach--are illustrated in Figure 1.3. Once again, the interaction of individual characteristics, behaviors, and situational contexts can be seen.

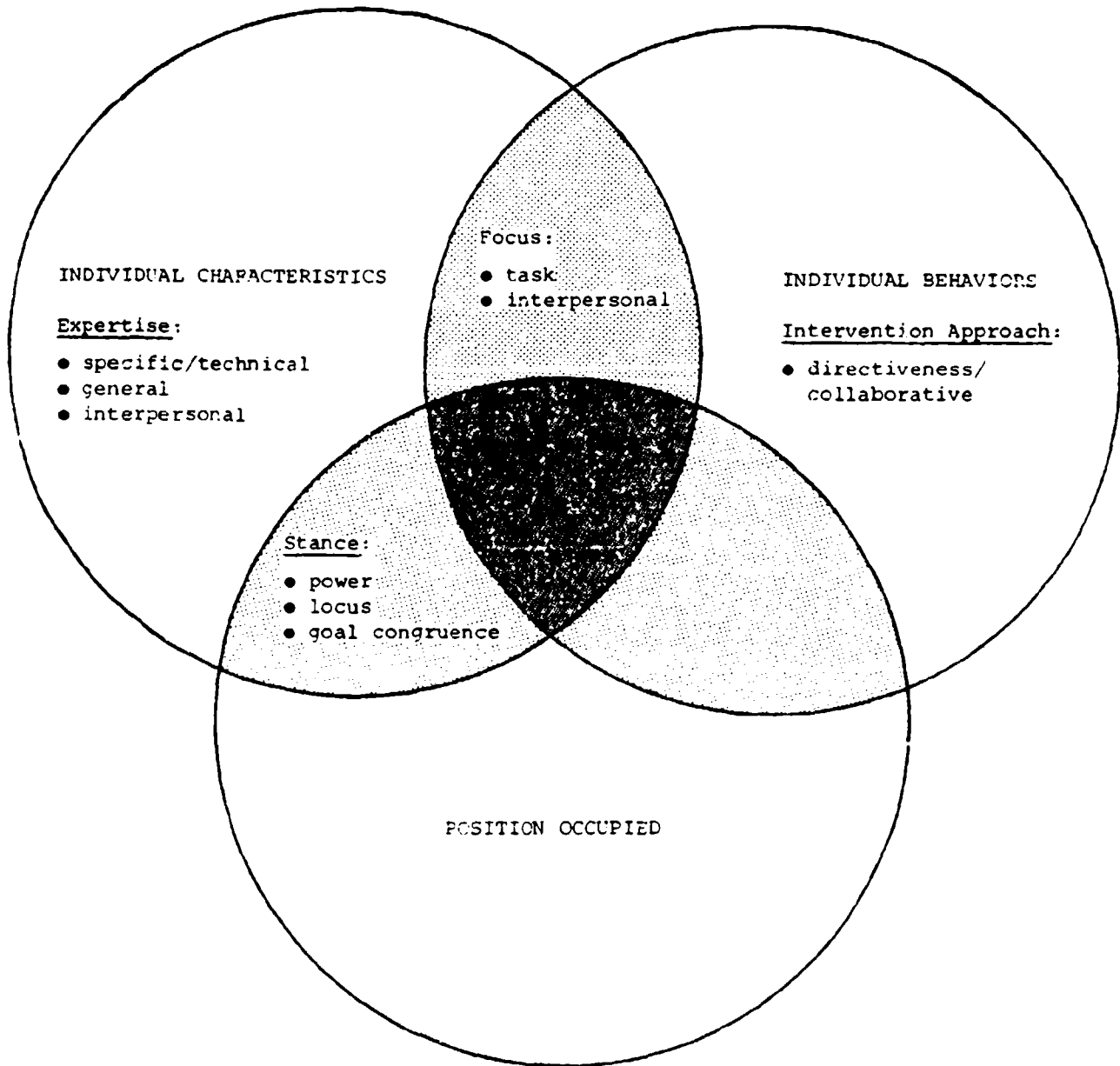
1. Expertise, a dimension of individual characteristics, refers to the extent and content of consultant knowledge or skill:

(1) Specific technical expertise measures the consultant's familiarity with the client's work technology or process (e.g., radar electronics or infantry tactics). Internal consultants (except technical experts), while less knowledgeable than operating managers or technical personnel, are more knowledgeable about their organization's specific technology than are external consultants.

(2) General expertise refers to the consultant's knowledge of generic organizational, management, or research principles

FIGURE 1.3

Dimensions on which Consultant Roles Vary



relevant to the client's operations. For example, a consultant who specializes in information systems design may know relatively little about military as opposed to health or industrial organizational operations, but will have a generic expertise that can be applied to all of these systems.

(3) Interpersonal expertise refers to the consultant's understanding of and competence in interpersonal transactions (e.g., in creating an environment of psychological safety).

2. Stance, the overlap between individual and context, refers to the consultant's personal and positional power and relationship to the client:

(4) The power dimension assesses the status and influence of the consultant vis-a-vis the client. A consultant's power may be a function of personal characteristics (e.g., a commanding presence or academic reputation), formal position (e.g., military rank or legal powers as affirmative action representative), or the support given by the client.

(5) Locus describes the consultant's independence as opposed to personal involvement in the client situation. Browne et al. (1977) call this dimension "marginality," in which high marginality implies perspective, an independent frame of reference, detachment, and neutrality.

(6) Goal congruence describes the extent to which the consultant and client share objectives, values, standards of appearance and conduct, and the like. External consultants usually have more power, are more marginal, and hence perhaps are better able to provide an independent perspective on client problems. They are also less likely to be goal congruent with their clients.

3. Focus, the dimension of overlap between individual characteristics and behaviors, refers to the way in which consultants conceptualize problems, which influences the data they collect and the interventions they use:

(7) Task focus measures the consultant's attention to and attitude toward individual, work group, and organizational performance.

(8) Interpersonal focus describes the degree that a consultant values and works with individual feelings and non-task-related group dynamics.

4. Intervention approach, an individual behavior dimension, refers to the style a consultant uses in dealing with clients.

(9) The directive-collaborative dimension measures the extent to which the consultant unilaterally imposes diagnoses, intervention methods, or solutions on the client, as opposed to working collaboratively with the client to develop joint approaches.

These nine dimensions are not exhaustive: there are doubtless other variables that could be used to describe a consultant's role with respect to a client. These dimensions, however, are hypothesized to be relatively independent. A consultant can and would be expected to shift positions on dynamic dimensions with different clients and at different points during an intervention. For example, a consultant could take a more or less directive role, or shift from a task to an interpersonal focus, depending on the contingencies of the situation; if effective, his or her power may increase. The conceptualization of consultant role dimensions as continuous variables provides for dynamic, as opposed to static, assessment of role behavior at any point or in any situation.

Evidence from Case Studies

The quality of the majority of the 85 cases reviewed for this report were not sufficiently detailed or specific to permit inferences about role dimensions. Nevertheless, we were able to examine a small sample of ten case studies of "organizational effectiveness" (OE) interventions in the U.S. Army, collected by Spencer and Cullen (1979). For the 18 consultants whose behavior was documented by these authors, it was found that (1) independent or marginal locus, (2) goal congruence, and (3) collaborative as opposed to directive role approaches to be associated with success (see Table 1.9).

TABLE 1.9

OE Consultant Roles and Role Dimensions Associated with
Success and Failure in OE Operations

Consultant Role*	Frequency			Inference
	Success (N=12)	Failure (N=6)	Total (N=18)	
1. Advocate	0 (0%)	4 (67%)	4 (22%)	● Most OE consultants operate as a collaborator in problem solving role
2. Expert	1 (8%)	1 (17%)	2 (11%)	
3. Trainer	5 (42%)	1 (17%)	6 (33%)	● Advocate role is negatively associated with success
4. Collaborator in Problem Solving	12 (100%)	5 (83%)	17 (94%)	
5. Interpersonal Processor	2 (17%)	1 (17%)	3 (17%)	

*Note: More than one consultant role can be scored in an OE operation.

Role Dimension

1. Specific Technical Expertise	H	2 (17%)	1 (17%)	3 (17%)	● Most OE consultants are low in specific technical expertise
	M	1 (8%)	0 (0%)	1 (6%)	
	L	9 (75%)	5 (83%)	14 (78%)	
2. General Management Expertise	H	1 (8%)	0 (0%)	1 (6%)	● Most OE consultants are moderate in general expertise (moderate expertise in general management may be associated with success)
	M	10 (83%)	2 (33%)	12 (67%)	
	L	1 (8%)	4 (67%)	5 (28%)	
3. Interpersonal Expertise	H	1 (8%)	1 (17%)	2 (11%)	● Most OE consultants use moderate interpersonal expertise
	M	10 (83%)	3 (50%)	13 (72%)	
	L	1 (8%)	2 (33%)	3 (17%)	
4. Power	H	0 (0%)	0 (0%)	0 (0%)	● Most OE consultant roles are low in power
	M	2 (17%)	2 (33%)	4 (22%)	
	L	10 (83%)	4 (67%)	14 (78%)	
5. Locus: ● Independence/ Marginality	H	10 (83%)	1 (17%)	11 (61%)	● Independent or marginal locus is associated with success
	M	1 (8%)	3 (50%)	4 (22%)	
	L	1 (8%)	2 (33%)	3 (17%)	
6. Goal Congruence	H	10 (83%)	0 (0%)	10 (56%)	● Goal congruence is associated with success
	M	2 (17%)	2 (33%)	4 (22%)	
	L	0 (0%)	4 (67%)	4 (22%)	
7. Task Focus	H	5 (42%)	2 (33%)	7 (39%)	● Most OE consultants are moderate-high in task focus
	M	6 (50%)	3 (50%)	9 (50%)	
	L	1 (8%)	0 (0%)	1 (6%)	
8. Interpersonal Focus	H	1 (8%)	1 (17%)	2 (11%)	● Most OE consultants are moderate-low in interpersonal focus
	M	6 (50%)	1 (17%)	7 (39%)	
	L	5 (42%)	4 (67%)	9 (50%)	
9. Directive vs. Collaborative	H	0 (0%)	3 (50%)	3 (17%)	● Collaborative as opposed to directive style is associated with success
	M	4 (33%)	1 (17%)	5 (28%)	
	L	8 (67%)	2 (33%)	10 (56%)	

INTERVENTION METHODS

Two distinct approaches to classifying intervention variables are discernible in the literature: method and process. Method taxonomies describe interventions in terms of a specific theoretical approach or technique (e.g., process consultation or survey-guided development). In other words, method labels describe what a consultant calls what he or she does with a client, but not how he or she and the client interact in the intervention process.

In the field of organization development, some method labels imply that certain processes take place. For example, use of a survey-guided development intervention implies that data is gathered, analyzed, and fed back to a client, who then problem-solves, sets goals, and acts on the basis of this feedback. In fact, however, the label says little about how either the consultant or the client actually behave. For example, feedback may be simply given to the client without explanation, or the problem-solving meeting may not take place. This section organizes intervention alternatives by method and process.

Types of Intervention Methods

Most studies reviewed referenced intervention methods by the client unit of change to which they were applied. Table 1.10 summarizes the methods identified by each author by categorizing them in the ten groups suggested by Beer (1976).

1. Individual consultation (counseling/coaching) interventions usually involve a consultant in a one-on-one helping interaction with a single client. Change methods can range from individual psychotherapy, with the objective of bringing about intrapsychic changes, to provision of expert information and advice.

2. Unstructured group training interventions involve individuals in a group that lacks any task purpose or structure except that of understanding individual or group dynamics. T-groups, sensitivity training, and uninstrumented racial awareness workshops are examples of this type of intervention. Team building is included in this category (as well as in subsequent categories) because unstructured group training is sometimes used with work groups for team building purposes.

TABLE 1.10

A Taxonomy of Intervention Methods
Used by the Consultant

- I. Individual Counseling/Advising
 - A. Intrapsychic counseling/psychotherapy (Burke, 1974)
 - B. Behavior/skill coaching (Schein, 1961, 1969; French & Bell, 1973; Hellriegel & Slocum, 1976; Hamner & Hamner, 1976; Luthans & Kreitner, 1975)
 - C. Career and life planning (French & Bell, 1973; Kelley, 1979)
 - D. Expert: information prescriptive advice (Kelley, 1979)
- II. Unstructured Group Training
 - A. Encounter groups (Dunn & Swierczek, 1977)
 - B. Laboratory training (Dunn & Swierczek, 1977; Burke, 1974; Pate et al., 1977; Bowen & Nath, 1978; McGill, 1977)
 - C. Sensitivity training (Dunn & Swierczek, 1977; Bowers, 1973; Barnes, 1969; Greiner, 1965; French & Bell, 1973)
- III. Structured Group Training
 - A. Management development (Dunn & Swierczek, 1977; Pate et al., 1977; Srivasta et al., 1975)
 - B. Group development (Dunn & Swierczek, 1977; Burke, 1974; Pate et al., 1977; Hellriegel & Slocum, 1976; McGill, 1977; French & Bell, 1973; Srivasta et al., 1975; Baker, 1979)
- IV. Process Consultation: Task/Interpersonal, Team Building
 - A. Interview-observation-feedback (Dunn & Swierczek, 1977; French & Bell, 1973; Srivasta et al., 1975; Neilson, 1978; Schein, 1979; Leach, 1978)

- B. Group sensing/action planning (Dunn & Swierczek, 1977; Pate et al., 1977; Bowers, 1973; Barnes, 1969; Greiner, 1965; French & Bell, 1973)
- C. Role clarification (Pate et al., 1977; Hellriegel & Slocum, 1976; French & Bell, 1973)
- D. Conflict resolution (Dunn & Swierczek, 1977; Burke, 1974; French & Bell, 1973)
- E. "Processing" meetings (Dunn & Swierczek, 1977; Burke, 1974; Pate et al., 1977; Bowers, 1973; McGill, 1977; French & Bell, 1973; Srivasta et al., 1975; Cash & Minter, 1978)

V. Survey-Guided Development

- A. Data handback (Bowers, 1973; Burke, 1974)
- B. Action research (Dunn & Swierczek, 1977; Pate et al., 1977; Hellriegel & Slocum, 1976; Barnes, 1969; Greimer, 1965; McGill, 1973; Srivasta et al., 1975; Neilson, 1978)
- C. Theory and data (Bowers, 1973)

VI. Job Redesign

- A. Tasks (Dunn & Swierczek, 1977; Burke, 1974; Pate et al., 1977; Hellriegel & Slocum, 1976; French & Bell, 1973; Srivasta et al., 1975)
- B. Responsibilities (Dunn & Swierczek, 1977; Burke, 1974; Pate et al., 1977; Hellriegel & Slocum, 1976; French & Bell, 1973)
- C. Interaction patterns (Dunn & Swierczek, 1977; Hellriegel & Slocum, 1976; Srivasta et al., 1975)
- D. Technical/physical environment (Burke, 1974; Pate et al., 1977; McGill, 1977; Srivasta et al., 1975)

VII. Personnel Systems

- A. Staffing (Dunn & Swierczek, 1977; Barnes, 1969; Greiner, 1965)

B. Pay and rewards (Dunn & Swierczek, 1977; Pate et al., 1977; Srivasta et al., 1975; Hamner & Hamner, 1976)

C. Hygiene (Dunn & Swierczek, 1977)

VIII. MIS/MCS/Financial Control Systems

Dunn & Swierczek, 1977; Hellriegel & Slocum, 1976

IX. Organizational Design

Dunn & Swierczek, 1977

Burke, 1974

Pate et al., 1977

Hellriegel & Slocum, 1976

Barnes, 1967

Greiner, 1965

French & Bell, 1973

Schein, 1969

Srivasta et al., 1975

X. Integrated Approaches

3. Structured group training interventions include management and group development courses that are structured to change participant attitudes, convey some specific theory or body of knowledge, or develop specific skills. Structured educational experiences usually contain readings, lectures, and exercises, and may be "instrumented" (i.e., include tests or surveys used to give participants feedback on their attitudes, knowledge, or skill levels). Examples include communications, problem-solving, Grid Phase 1, transactional analysis, MBO, supervisory skills, and equal opportunity training courses or workshops. Team building is also included in this category because when used with work groups, the process of sharing an educational experience by itself has a team-building effect. Work group members have a shared knowledge base, language, memory of working together (often in a retreat setting, outside the usual work milieu), and perhaps enhanced communication, all potential sources of greater group identity and cohesion.

4. Process consultation methods include any intervention used with small work groups or teams to identify and solve common problems. Task-process consultation efforts focus on solving technical problems (e.g., work flows). Interpersonal process consultation sessions focus on "people problems": for example, communication patterns in meetings, clarifying roles and responsibilities, or resolving conflicts among work team members or between two competing teams. Team building is clearly included in this category. Involvement of work group members of varying status in problem-solving activities means that process consultation interventions by their very nature involve participative management to some degree.

5. Survey-guided development (SGD) methods include interventions which collect data about client work group or organizational functioning and feed data back to work groups for use in problem solving. Three SGD designs can be distinguished, in order of increasing effectiveness:

- (1) Data handback, in which data are simply collected and returned to the client without consultant participation in problem solving
- (2) Action research, data feedback, and action planning, in which data are collected and fed back to clients in a problem-solving meeting during which goals are set and action steps are planned to implement changes
- (3) Concepts training/data feedback/action planning, in which data are collected and fed back in the context of a structured workshop during which participants learn theories of management, the concepts behind the survey,

and problem-solving skills, then practice using this learning to set goals and plan action for improving their work situation

The last category necessarily involves team building and participative management in which members of a work group take part in problem-solving sessions with their superiors.

6. Job redesign methods include interventions which alter the tasks, responsibilities, interaction patterns, or the technical and physical environment intrinsic to the work itself--the jobs performed by client personnel. This category includes job enlargement, enrichment, and rotation; work simplification; changes in working conditions; flexible work hours; and some structural changes (e.g., the creation of autonomous work teams to increase employee interaction).

7. Personnel systems methods include interventions implemented through traditional personnel functions: (1) recruitment, selection, training, and placement of new employees; (2) termination, reassignment, or retirement of existing personnel; and (3) manipulation of rewards and sanctions such as pay, profit sharing, incentive bonuses, fringe benefits, and other non-material rewards (e.g., titles). Equal opportunity programs and human resource planning systems are included in this category.

8. Management information and financial control systems methods include the introduction of management by objectives (MBO), performance evaluation, cost-benefit analysis, and other methods of tracking and evaluating employee or work group performance.

9. Organizational design methods include any structural change in organizational authority and reporting relationships: creation of "matrix" project teams, decentralization, or consolidation of units.

10. Integrated approaches is a final catchall category for interventions which include more than one of the methods described above. It should be observed that many intervention categories overlap, and methods are in no way mutually exclusive. An intervention may begin with a survey-guided development sequence (Number 5 above) which stimulates managers to plan for and act to provide management development training (4), job redesign (6), decentralization of responsibility (9), and a management by objectives system (8) with bonus incentives (7).

Evidence from Empirical Studies

Empirical studies of intervention methods fall into one of the two categories of evaluation: some are formative evaluations, i.e., they assess new intervention methods or how to improve intervention methods; others involve summative evaluation, summarizing the findings or results of particular interventions. Empirical studies which address the usefulness of particular methods and how to improve interventions are generally experimental or quasi-experimental in design.

Comparative Studies of Intervention Methods

Given the existence of an organizational problem, organization members then are faced with the issue of developing a strategy for implementing the relevant changes. Effective strategies must be based on information about what types of change lead to positive outcomes and, in addition, how to effect the desired results in the specific organizational situation. Knowledge that a specific change will, in fact, lead to a positive outcome is the minimal condition for successful change. Without cause-and-effect knowledge, it is impossible to formulate a rational change effort strategy (Cummings & Molloy, 1977). Yet, as Kaplan (1979) notes, in the case of process consultation, only a modest amount of research examines the relationship between intervention techniques and favorable impact on clients. There is an equally modest amount of systematic knowledge about the effects of other commonly used interventions.

In one of the few empirical studies to compare the effects of interventions, Bowers (1973) used a multiple wave survey to measure three general organizational characteristics: (1) organizational climate; (2) supervisor leadership; and (3) peer leadership. This large scale survey of organizations covered some 2319 work groups in 23 sites. Six different interventions, four experimental and two control, were examined. These included: survey feedback, interpersonal process consultation, task process consultation, laboratory training, and the two control conditions, data handback and no treatment. Both pretreatment and posttreatment measures were taken, using the Survey of Organizations.

Bowers and Hausser (1977) later used these data to create a typology of work groups by applying a profile analysis technique. They discovered 17 distinct work group types which are described by the profile of percentile scores on the three principal elements of the Survey of Organizations. Three kinds of information differentiated these profiles: level of each score, dispersion of each score, and shape (or rank order of the

scores). The largest number of profiles (8 of 17) were straight-line profiles at different percentile levels. The others showed divergence on one of the three elements scores (e.g., supervisor leadership score is divergent from climate and peer leadership, etc.). The impact of the five intervention methods on the different types of work groups was compared to determine positive, negative, and differential effects depending on work group type.

The results of both of these two analyses are summarized in Table 1.11. In the first the data were analyzed in terms of the organizational development techniques that intervened between pre- and postmeasures (Bowers, 1973). Survey feedback was associated with significant improvement on 11 of 16 indices. Laboratory training, on the other hand, was associated with significant declines on 7 of 16 indices. Systems which received no treatment showed significant declines on 10 of the 16 indices. In the second analysis (Bowers & Hausser, 1977) it was found that these OD techniques have a differential impact as a function of work group type, and that overall degree of change (no matter which intervention technique is used) is also a function of work group type. Thus, for example, survey feedback showed a net index change of -6 for one profile but a net index change of +85 for another. Overall, however, survey feedback had a mean net index change of +52.3. The greater degree of mean positive change tended to occur in those work groups in the lower middle of the range (e.g., straight-line profiles at the 30 and 40 percentile levels) or where the supervisory behavior index was divergent and lower. The higher straight-line profile groups tended to show lower positive or negative net index change.

Porras and Berg (1978), searching the literature covering 1959 through mid-1975, found 35 empirical assessments of OD interventions. The results of this search are also displayed in Table 1.11. These studies employed five major intervention techniques: (1) laboratory training with process emphasis; (2) laboratory training with task emphasis; (3) managerial grid; (4) survey feedback; and (5) the eclectic approach (three or more approaches were used). The two laboratory training techniques and survey feedback are comparable to categories used by Bowers (1973) while the managerial grid and the eclectic approach represent additional categories.

Analyzing the various outcome measures reported in these 35 studies, Porras and Berg (1978) identified two general areas of organizational life into which most measures fall: (1) individual and system outputs or products; and (2) human interactive processes. The outputs typically refer to performance variables (such as profits or productivity and efficiency), absenteeism, employee turnover, or employee satisfaction. The human interactive processes include behaviors, attitudes, and various

TABLE 1.11: Studies Comparing Various Intervention Techniques

STUDY	SURVEY FEEDBACK	INTERPERSONAL PROCESS CONSULTATION	TASK PROCESS CONSULTATION	LABORATORY TRAINING	DATA HANDBACK	MANAGERIAL GRID	ECLECTIC
Howes, D.G. (1977)	Significant positive change in organization climate, peer leadership, satisfaction, and group process	No significant change	Basically no change but significant positive change in decision- making process and satisfaction	Significant negative change in climate and peer leader- ship support element	Significant positive change in supervisor leadership	N/A	N/A
Howes, D.G., & Mausser, D.L. (1977)	Greatest positive change	Second highest positive change	Basically no change in either direc- tion	Very low mean positive change (nega- tive)	Very low mean positive change (nega- tive)	N/A	N/A
Portas, J.L., & Berry, P.O. (1978)	<ul style="list-style-type: none"> • Tied for second highest percentage positive change in outcome variables • Second highest percentage positive change in process variables 	<ul style="list-style-type: none"> • Lowest percentage positive change in outcome variables • Second lowest percentage positive change in process variables 	<ul style="list-style-type: none"> • Tied for second and highest percentage positive change in outcome variables • Middle percentage positive change in process variables 	N/A	N/A	<ul style="list-style-type: none"> • Highest percentage positive change for outcome variables • Tied for lowest percentage positive change for process variables 	<ul style="list-style-type: none"> • Middle percentage positive change for outcome variables • Highest percentage positive change for process variables

characteristics of the organization's personnel (such as group supportiveness and motivation or leadership work facilitation). The outcome measures used in both of Bowers's studies fall into the category of human interactive processes.

Several interesting findings emerge from Table 1.11. First, both laboratory training and data handback seem minimally effective, whether in terms of premeasures, postmeasures, or differential impact on various work group types. The only note of caution is that both of these findings come from Bowers's work and therefore are based solely on process outcome measures.

Both Bowers's studies show that survey feedback produces the greatest positive change, while Porras and Berg found that this technique produced the second highest positive change in both process and outcome variables. The highest positive change in outcome variables was produced by the managerial grid while the highest positive change in process variables was produced by the eclectic approach. The finding that the managerial grid (which focuses on supervisory behavior) leads to improvement in output measures suggests that data handback, which shows significant improvement in supervisor leadership, may also show improvement in output measures. This question should be tested empirically before data handback is eliminated.

Table 1.11 demonstrates that although it is agreed that survey feedback is effective, the choice of intervention technique will depend on a set of contingent variables. Some of these contingent variables are profile and level of work group type, and desired outcome (process or output, or both). Thus, Bowers and Hausser (1977) report that survey feedback works best when the work group falls in the lower middle range: other contingent variables may also exist. For example, laboratory training may not work well in military settings because it conflicts with prevailing norms. Porras and Berg report that above a necessary minimum, the more techniques used to attack the problems of the organization, the more effective the effort. This implies that judicious selection of techniques will produce an effective eclectic approach to organizational change.

Cummings and Molloy (1977) performed a similar review of studies on improving the quality of work life and productivity at work. The results of their review are summarized in Table 1.12. They selected a sample of 78 empirical studies representing seven intervention techniques. Within each intervention technique category, the studies were evaluated in terms of what specific organizational changes produced positive results. Nine specific categories of organizational change and five

TABLE 1.12: Evaluating Seven Major Change Strategies*

CHANGE STRATEGY	IMPACT	COMMENTS
Autonomous Work Groups (16 studies)	<ul style="list-style-type: none"> - positive effects for productivity, costs, quality, withdrawal and attitudes - positive effects on quality of work life 	<ul style="list-style-type: none"> - suggest that when conditions for autonomous group functioning not implemented fully, negative results may follow
Job Restructuring (28 studies)	<ul style="list-style-type: none"> - predominantly positive effects; most common improvement of attitudes - quality of work life also improved 	<ul style="list-style-type: none"> - validity threatened by instability and mortality but positive convergence across set leads to discount threats
Participative Management (7 studies)	<ul style="list-style-type: none"> - positive effects for withdrawal, productivity and attitudes 	<ul style="list-style-type: none"> - possibility of selective drop-out of experimental subjects (mortality) threat to performance and attitude changes
Organization-Wide Change (7 studies) (structural changes)	<ul style="list-style-type: none"> - positive effects for productivity, quality - mixed for attitudes 	<ul style="list-style-type: none"> - predominance of threats to internal validity render positive performance findings questionable - quality of work life even weaker
Organizational Behavior Modifications (6 studies)	<ul style="list-style-type: none"> - positive effects for costs, productivity, withdrawal 	<ul style="list-style-type: none"> - high degree internal validity

McBER and COMPANY

* Summarized from Cummings and Molloy (1977) by the authors of this report

Table 1.1. (cont.)

CHANGE STRATEGY	IMPACT	COMMENTS
Flexible Working Hours (6 studies)	- positive effects for productivity, withdrawal, and attitudes	<ul style="list-style-type: none"> - few threats to internal validity of performance results; major one is history which is serious - quality of work life findings subject to numerous threats to internal validity
Scanlon Plan (8 studies)	- positive effects for costs, productivity, attitudes, and quality	<ul style="list-style-type: none"> - little threat to internal validity of performance results - some grounds for increased quality of work life

separate outcomes were examined. The nine areas of change include:

- (1) pay/reward
- (2) employee autonomy/discretion
- (3) support services
- (4) training
- (5) organizational structure
- (6) technology/physical work setting
- (7) task variety
- (8) information/feedback to employees
- (9) interpersonal interaction/group process

The first seven categories involve structural, sociotechnical, or job design changes and are therefore not comparable to any of the techniques listed in Table 1.11. The information/feedback category may correspond to survey feedback or data handback. The interpersonal interaction category appears to correspond to the interpersonal process consultation technique listed in Table 1.11.

The five outcomes identified by Cummings and Molloy include:

- (1) costs
- (2) productivity
- (3) quality of work/performance
- (4) withdrawal from work
- (5) employee attitudes

All of these categories, with the exception of employee attitudes, correspond to measures of output according to Porras and Berg's classification.

As can be seen in the Comments column of Table 1.12, the internal validity of these studies was also evaluated by Cummings and Molloy. Threats to internal validity include such problems as: other events occurring at the same time as the treatment, offering an alternative explanation for the results; changes in the characteristics of the respondents as a function of time; or differential recruiting of subjects into treatment groups. In some cases, the threats to internal validity are serious enough to render the findings for a particular strategy questionable. For example, the studies which involved a change to flexible work hours show positive effects on productivity, withdrawal from work, and attitudes, but these findings are subject to numerous threats to internal validity and have not been replicated over a large number of studies. It is therefore not clear that flexible work hours produce a positive effect. On the other hand, the job restructuring studies contain two threats to internal validity: instability (random fluctuations in a number

of measures) and mortality (differential loss of subjects from comparison groups); however, because of a strong positive convergence of findings across a large number of studies, these threats can be discounted. The most positive finding reported by Cummings and Molloy was in the set of organizational behavior modification studies. These studies have a high degree of internal validity and report positive effects on costs, productivity, and withdrawal from work outcome measures.

Data from Case Evidence

Evidence from case data tabulation of the intervention methods used in 85 case studies, summarized in Table 1.13, indicates that structural approaches--organizational design, job redesign, and structured training--have the highest success rate. Unstructured approaches--"general consulting" and unstructured group training--fare less well. These data, too, leave little to say about consultant competencies that predict success or failure, unless to support Argyris & Schon's assertion that unstructured consulting approaches place a premium on consulting expertise that few consultants have; hence, structural approaches, which leave less to the consultant's discretion, are more likely to succeed.

Effectiveness of Specific Intervention Techniques

The literature review identified a number of studies of specific intervention techniques that have received relatively little attention in the mainstream of OD literature. These studies and techniques are discussed here because they provide information on what consultants do that may make a difference.

The recent empirical studies sampled can be grouped by method into three categories: (1) those using process consultation; (2) those using training or education; and (3) those using organizational behavior modification. The process consultation category includes two subsets: laboratory studies investigating the use of specific technologies (e.g., videotape feedback), and experimental field studies of interventions in which a number of process variables were systematically varied. These studies are outlined in Table 1.14 and are described below.

Process Consultation

Several laboratory studies (Walter & Miles, 1972; Werner, 1971; Weber, 1972) provide evidence that the use of videotape feedback has an effect on group problem-solving behaviors,

TABLE 1.13

Case Study Evidence on Outcome by Intervention Method

	Success	Limited Success	Failure	Unclear	Total	Success Ratio	Failure Ratio
Individual Consultation			1		1		
Unstructured Group Training	1	1	1		3	33%	33%
Structured Group Training	6	5	0	5	16	38%	0%
Process Consultation	2	4	1	5	12	17%	8%
Survey Feedback	5	3	2	4	14	35%	14%
Job Redesign	5	1	1	1	8	68%	12%
Organizational Design	3	2	0	1	6	50%	0%
General Consulting	4		6	2	12	33%	50%
Multiple	4	3	4	3	14	28%	11%
Total	30	19	15	21			

TABLE 1.14

Recent Studies of Techniques/Interventions

STUDY	SAMPLE	TECHNIQUES USED	FINDINGS
Bates (1972)	76 students (L)	Videotape feedback (structured, unstructured, none) of group behavior	<ul style="list-style-type: none"> • both treatment groups increased expression of positive emotions over time (SPB=UFB) • getting VFB seems to lead to increased involvement, consensus on decisions, greater solidarity and more supportive climate in group • structured format produced no difference from unstructured format
Miller & Miles (1972)	144 students (L)	Social modeling, videotape feedback, both together	<ul style="list-style-type: none"> • social modeling alone, both together show significant changes in effect of problem-solving statements • videotape feedback appears to serve useful function when linked with social modeling but not by self
Miller (1972)	82 industrial managers (L)	Process feedback (video, survey, none) X knowledge of results (success, failure) X process consultation (presence, absence)	<ul style="list-style-type: none"> • main effect for process feedback not other 2 factors • video feedback vs. survey feedback not clearly better • various 2- and 3-way interactions • process consultation not always a benefit

(L) - Laboratory experiment (F) - Field Experiment

TREATMENT	SAMPLE	TECHNIQUES USED	FINDINGS
<p>100 students (3 person groups both A & C) (100)</p>	<p>100 students (3 person groups both A & C) (100)</p>	<p>Hi-lo prestige of consultant, instrumental process analysis and interpersonal process analysis, 2 controls: no intervention and no consultant</p>	<ul style="list-style-type: none"> • no significant difference in performance due to process analysis, significant effect on cohesiveness • no significant differences in performance, work process or cohesiveness due to process consultation • instrumental style led to better work process performance, interpersonal style led to better cohesiveness • no differences due to prestige of consultant • results consistent with specificity hypothesis that an intervention is more likely to succeed in those areas on which it is focused
<p>23 food service units (experimental & control groups) (4)</p>	<p>23 food service units (experimental & control groups) (4)</p>	<p>Educational workshop, team building, participative problem solving</p>	<ul style="list-style-type: none"> • for managers only process variables change in negative direction • same true for staff • managers' outcomes also negative change • staff outcomes negative except self-actualization positive • unit performance overall showed positive change (food & labor, costs/meal)

Table 1.14 (cont.)

STUDY	SAMPLE	TECHNIQUES USED	FINDINGS
Taylor & Lumsden (1975)	152 Air Force Cadets, 16 commissioned officers (supervisors) (F)	Collaborative goal setting in performance appraisal system	<ul style="list-style-type: none"> • experimental groups indicated more perceived involvement in establishing goals, better feedback on performance, more positive attitude toward appraisal system • there was no difference in performance between the two groups

TABLE 1.1 (Cont.)

STUDY	SAMPLE	TECHNIQUES USED	FINDINGS
Allman, Betts, & Oswald (1970)	23 youth workers (3E, 40%); (F)	Series of in-service training sessions-- frequent repetitions of information	<ul style="list-style-type: none"> when E group got preponderance of messages advocating some behavior, that behavior changed more for E group than C group seems change occurs when behaviors advocated do not contradict on-the-job experience of trainees
Bass & Patterson (1973)	26 supervisors (F)	Communication and exhortation of Systems 4 values of management, feedback on individual supervisory style	<ul style="list-style-type: none"> no significant changes across 4 plants (pre and post) one plant significant change toward Systems 4, one plant significant change toward Systems 1 work group differentiation was inversely related to changes taking place

Source: Bass & Patterson (1973)

TABLE 1.1.1.1

STUDY	SAMPLE	TECHNIQUES USED	FINDINGS
Wassenaar & Wassenaar (1974)	215 hourly employees (F)	Behavior modification: lottery incentive system	<ul style="list-style-type: none"> absenteeism significantly reduced
Wassenaar & Wassenaar (1975)	18 first-line supervisors (F)	Supervisors trained to use behavioral contingency management via a process training approach. Interventions included: shaping, modeling, reinforcement, extinction, reinforcement of incompatible behavior	<ul style="list-style-type: none"> individual cases all showed improvement of target behaviors overall performance of experimental group (mean direct labor effectiveness) significantly improved while performance of control group remained stable
Wassenaar, Wassenaar & Wassenaar (1976)	78 seasonal field workers (F)	Positive reinforcement (money), continuous or variable ratio schedule	<ul style="list-style-type: none"> continuous reinforcement schedule produced equal or better performance than variable ratio, and was preferred by workers continuous reinforcement increased performance over baseline

although it is not clear that videotape feedback is effective alone (and instrumented feedback may be equally effective). The studies in this category described the videotape feedback techniques used clearly and adequately, but did not describe as clearly the other techniques used. Replication of these studies, particularly in field situations, could therefore be difficult.

The Lipshitz and Sherwood (1978) study compared instrumental process analysis with interpersonal process analysis. The results of this study are consistent with the specificity hypothesis: An intervention is more likely to succeed in those areas on which it is focused. Thus it was found that an instrumental style of process consultation led to better performance, while the interpersonal style led to increased cohesiveness in the group. This should have implications for the consultant's choice of intervention techniques based upon diagnosis of the problem area. This study, however, provided only vague behavioral descriptions of both process consultation techniques. Apart from an attempt to manipulate the process consultant's prestige, this study did not address the issue of requisite consultant skills, values, or behaviors for the successful application of the two techniques.

In one field study, Harris and Porras (1978) presented some interesting but puzzling results. This study used multiple process consultation techniques, including team building and participative problem solving. A number of individual process variables, (such as organizational climate, leadership, group process, commitment to unit, and job attractiveness) were measured for both managers and workers in the sample. In addition, there were several outcome measures employed, both on the individual manager or worker level (such as work group effectiveness, job satisfaction, and self-actualization) and also on the work unit level (such measures of unit performance as meals per labor hour, labor cost per meal served, and gross profit). Both managers and workers showed change in a negative direction for all process variables. All outcome measures but one also changed in a negative direction for both workers and managers. On the other hand, unit performance as a whole showed a positive change. Given the negative results on the individual basis, it would seem likely that the latter result is an example of the Hawthorne Effect. Taylor and Zawacki (1978) report that the use of collaborative goal setting in Air Force Cadet groups led to an improvement in participants' reactions but no difference in performance from groups not using collaborative goal setting. That is, there was improvement in the human interactive category but not in the output category.

Overall, these field studies are vague in their descriptions of intervention techniques, and while the readers know what the

authors say was done, they have little data on what was done. The studies focus on the generic technique, not the behavior of the consultant or the client-participant. This limits the external validity of many of these experimental studies.

Training or Education

A study by Hain and Patterson (1973) involved the "communication and exhortation of Systems 4 values of management" plus feedback on individual supervisory styles. No significant systematic changes were seen as a result of this intervention. Very little information was given about the techniques used, although "communication" implies a lecture situation, while "exhortation" implies an extreme fervor in advocacy within such a lecture. What was said and how it was said is left to the reader's imagination.

Gillham, Bersani, Gillham, and Vesalo (1979) report a field study of youth workers. A series of in-service training sessions which included frequent repetition of information was carried out. The administrative details of this intervention were clearly reported (e.g., time of day meetings were held, description of room), but what the trainers did was not. From this write-up, the interested reader could organize a series of in-service training sessions, but would not know what to do within those sessions. The study reports that when the experimental group got a preponderance of messages advocating some specific behavior, that behavior changed more than for the control group workers. This was only true, however, when the advocated behaviors did not contradict the on-the-job experience of the participants. Messages advocating behaviors contrary to their experience tended to be ignored. The authors suggest that this means that the consultant should pilot test a program to see how it fits with the on-the-job experience of the target group. This study focuses on the intervention effort and what tasks will promote this process; the focus on tasks is the closest it comes to addressing the issue of consultant behaviors.

Behavior Modification

These studies, although not complete, address most clearly and descriptively what the consultant does. This is undoubtedly a result of the fact that behavior modification relies on the consistent application of certain well-defined principles. The behaviors of the consultant thus become doubly important. The studies included in this sampling were chosen from a larger review reported recently by Androsik (1979). These studies employ a number of behavior modification approaches including positive

reinforcement (money, time for breaks), shaping, modeling, and reinforcement of incompatible responses.

The findings of these studies are evaluated on the levels of individual results (individual cases show changes in target behaviors) and/or organizational results (change in the desired direction of group performance). As Cummings and Molloy (1977) reported, in all cases there was significant change from baseline.

The use of organization behavior modification requires well-developed diagnostic skills: a consultant must specify exactly what behavior is to be changed; select the most effective means of effecting that change; identify what reinforcements operate for the individual or group; and take careful baseline measures of the target behavior. It is clear in the case of this intervention technique that the behavior and skills of the consultant can be critical: an ill-chosen reinforcer may not work, and a badly timed one may reinforce the wrong behavior.

Conclusion

In summary, studies of the effectiveness of various intervention methods provide little useful information on consultant skills or competencies that predict intervention success. In some interventions (e.g., the use of videotape feedback), a consultant's behavior is not a critical determinant of the overall outcome. Variations in the consultant's behavior will not be significant, and therefore investigators of such techniques can ignore the consultant behavior as a source of variance. However, it seems clear that in most interventions (e.g., collaborative goal setting, training, giving feedback from surveys) the behavior of the consultant is crucial. Variations in consultant behavior will have significant effects. As Pate (1979) notes, there is a common assumption that the same intervention will be done the same way regardless of the consultant or the client situation. This is clearly not possible; individual differences in personality and skills will lead to individual differences in consultant behavior, which will inevitably mean that the same intervention done by two different individuals will not be the same.

However, some individual variation can be removed by sufficiently specifying the technique to be used. This can be seen clearly in the use of organizational behavior modification. The more completely the details of an intervention technique are specified, the more the behaviors of the consultant are controlled. An analogy from the field of medicine provides a clear example of the constraining effect of specifying the technique. A surgeon, performing a given operation, has little leeway in his or

her behavior or the sequence of acts performed. A psychiatrist, on the other hand, has a wider range of possible behaviors to choose from, and at the same time what must be done is less defined.

Because few of the empirical field laboratory studies examine consultant behaviors or specify the techniques sufficiently, or differentiate them, studies of intervention consulting processes were also reviewed in a further attempt to identify consultant behaviors that might predict success or failure.

INTERVENTION PROCESSES

Process studies describe interventions in terms of what consultants and clients actually do at various points in time over the course of an intervention (e.g., "establish a psychological contract" or "make contacts to gain top management support").

Findings from the literature on counseling and small group dynamics suggest that intervention processes are more important than the names given to disparate techniques. For example, in counseling and psychotherapy, whether a therapist's theoretical orientation is psychoanalytic, Jungian, or Rogerian nondirective makes no difference in client outcomes. Factors thought to be related to cure rates include such process variables as therapist expressions of accurate empathy, nonpossessive warmth, genuineness, and initiation (diagnostic and prescriptive skill) which appear to underlie all effective therapeutic interactions (Carkhuff, 1969, p. 21; Truax & Carkhuff, 1966; Lambert, DeJulio, & Stein, 1978; Durlak, 1979).

This finding holds true for group interventions as well. A group leader's theoretical orientation as a Gestalt, transactional analysis, or T-group practitioner is not associated with participant and group outcomes. Rather, four leader behavior process dimensions--caring, emotional stimulation, meaning attribution, and executive function (which can vary for leaders using any methods)--account for differences in group outcomes (Lieberman, Yalom, & Miles, 1973, p. 241).

It follows that any taxonomy of OD interventions must examine whether or not certain processes take place as well as what the method is called. Conceptions of OD intervention process variables can be organized into two groups: (1) component variables and (2) intervening variables. Component variables refer to the steps or stages which can take place during the intervention. These variables can be visualized as points on a time line stretching from the beginning of an intervention to its conclusion. Intervening variables refer to consultant behaviors or client effects that occur during a stage which increase the probability that the overall objectives of the intervention will be met (e.g., correctly identifying the client's felt needs during the diagnosis phase). Having already dealt with intervening variables by themselves in the earlier discussion of consultant competencies, this chapter focuses now on stages of the intervention process and their implications for specific consultant behaviors and client effects.

Intervention Stages

Reviews of the principal social and organizational change models (Havelock, 1969; Sashkin, Morris, & Horst, 1973; Havelock & Havelock, 1973; Spencer & Cullen, 1978) indicate similar conceptions of the steps by which change takes place over time. Twelve of the more commonly cited models, including the current Army and Navy survey-guided development sequences, are presented in Table 1.15.

As indicated in this table, most models include the following stages:

- Entry or initial contact phase, in which the consultant and client meet and agree on (contract for) the objectives and tasks to be undertaken in the intervention
- Diagnosis or research phase, in which data is collected and analyzed to provide some idea of the client's problems or needs
- Problem-solving or planning phase, in which the client and consultant seek out and evaluate potential solutions to identified problems, then plan and set goals for the implementation of solutions
- Implementation or action phase, in which the client implements the planned solutions (e.g., conducts training or changes organizational structure)
- Evaluation or follow-up phase, in which the consultant and client determine the effects of the intervention as compared with the initial objectives, and the consultant either terminates contact with the client or continues in a supportive role

Models may omit one or two of these phases and differ in the emphasis placed on consultant as opposed to client behavior. For example, briefer models do not explicitly include entry or evaluation steps; research-diffusion-dissemination models emphasize marketing steps; and social interaction models stress detailed aspects of the client's adoption of a change (Spencer & Cullen, 1978). All models, however, share a similar conception of steps in a change process over time.

This convergence, however, is potentially misleading. The five-step process, or even more elaborate models, reflects an underlying rational problem-solving model. These models fail to reflect the propensity for false starts, misdiagnoses, inadequate solutions, and the emergence of unanticipated problems. As general heuristics and guides to action the models are

TABLE 1.15

Phase Conceptions of the Organizational Intervention Process

"ACTION RESEARCH" Lewin, 1951	"INTERVENTION THEORY AND METHOD," Argyris, 1970	"(K) CONSULTING APPROACH" Kolb & Frohman, 1970	"TRAINING FOR DEVELOPMENT" Lynton & Pareek, 1967
Research <ul style="list-style-type: none"> • data gathering • analysis • diagnosis Action <ul style="list-style-type: none"> • unfreezing • changing • refreezing Research <ul style="list-style-type: none"> • evaluation 	Generate problem- relevant data Use data to identify solution alternatives and make decisions Communicate shared commitment to these decisions	Scouting Entry <ul style="list-style-type: none"> • psychological contract Diagnosis Planning Action Evaluation Termination	Pre-intervention <ul style="list-style-type: none"> • expectations: felt needs • motivation of partici- pants Intervention <ul style="list-style-type: none"> • training • experience • feedback • reinforcement • internalization Post-intervention <ul style="list-style-type: none"> • organization support • evaluation

TABLE 1.15 (cont.)

"CONSULTING PROCESS" Lippitt & Lippitt, 1975	"SURVEY-GUIDED DEVELOPMENT" Franklin, 1976	NAVY HRM CYCLE	ARMY ORGANIZATIONAL SURVEY FEEDBACK MANUAL
<p>Phase I: contact, entry, relationship</p> <p>Phase II: contract formulation</p> <p>Phase III: planning for problem solving</p> <p>Phase IV: action taking and continuity</p>	<p>Initial contact</p> <p>Entry and commitment</p> <p>Data gathering</p> <p>Problem solving/action planning</p> <p>survey concepts training</p> <p>survey feedback</p> <p>Exit/termination procedure</p>	<p>Phase I: • initial contact with clients • "scouting" data collection • planning by consultant team • CO brief</p> <p>Phase II: • survey concepts training</p> <p>Phase III: • survey data collection</p> <p>Phase IV: • diagnosis • survey feedback</p> <p>Phase V: • action planning</p> <p>Phase VI: • CMD implementation</p>	<p>Administer survey</p> <p>Survey feedback</p> <p>Diagnosis</p> <p>Planning</p> <p>Action</p>

TABLE 1.15 (cont.)

"ADMINISTRATIVE EXPERIMENTATION," Berlin, 1978	"GETTING THE JOB DONE" OD APPROACH, Moravec, 1978	"MEANS-ENDS MODEL," Quinn, 1978; Quinn & Howes, 1978	"WHOLE ORGANIZATION DEVELOPMENT," Johnston, 1979
<p>Identify problem</p> <p> </p> <p>Persuade administration to treat problem as administrative experiment</p> <p> </p> <p>Collect background data</p> <p> </p> <p>Present design for implementation and evaluation</p> <p> </p> <p>Evaluate change effort</p>	<p>Initial discussion of issues, initial proposal</p> <p> </p> <p>Introduction and entry</p> <p> </p> <p>"Iceberg" interviews</p> <p> </p> <p>Review/confirmation of issues to be addressed</p> <p> </p> <p>In-depth interviews</p> <p> </p> <p>Action planning meeting</p> <p> </p> <p>Implementation</p> <p> </p> <p>Follow-up</p>	<p>Stimulus</p> <p> </p> <p>Desired outcomes</p> <p> </p> <p>Means/strategies</p> <p> </p> <p>Implementation</p> <p>• process</p> <p>• levers</p> <p> </p> <p>Outcomes/results</p>	<p>Objectives clarification</p> <p> </p> <p>Data gathering and sharing</p> <p> </p> <p>Diagnosis of organizational strengths and weaknesses</p> <p> </p> <p>Prescription of OD interventions</p> <p> </p> <p>Commitment to action</p> <p> </p> <p>Implementation of intervention plan</p> <p> </p> <p>Progress review</p>

helpful but limited. There is a need to explore in more detail what each phase actually means in terms of consultant and client behavior and how the phases and their subelements potentially interact with each other during the course of an actual intervention or change effort.

As noted above, most change models include a number of phases. Based on the Kolb-Frohman and Lynton-Pareek models, Spencer and Cullen (1978) identified a stage conception of the change sequence which includes eight major steps in an intervention effort. This conception integrates the major components postulated by other models of change, and by increasing the specificity of the model attempts to go beyond the dominant logico-deductive approaches. Each stage contains intervening tasks or variables that the literature suggests are important to a successful organizational change effort. The eight major stages and their intervening tasks are summarized in Table 1.16. As a means of elaborating the nature of the intervening tasks, continual reference will be made to relevant practitioners' observations and empirical findings. The amount of rigorous empirical support for these intervening tasks, however, varies and is limited in most instances.

Stage I: Scouting

Scouting consists of identifying potential clients; active marketing of services to gain client awareness and interest; building an effective consultant team; and preliminary identification of client personnel and problems. The intervening tasks which may predict success during this stage are:

1.1 Identification of Potential Early Adopters. Based on the work on the diffusion of innovation, it can be argued that consultants should focus their marketing efforts on clients with a reputation for innovation or known to be interested in or favorably disposed toward OD approaches. Early adopters tend to be "opinion leaders," and therefore are likely to influence other potential clients to utilize consultants as well. One caveat to this prescription is that if the innovator group is perceived by others to be deviant or low in status (therefore not a reference group), consultants should avoid identification with it (Rogers, 1962; Havelock, 1969; Back, 1974). It is important to stress that consultants who value their time and their clients should identify not only potential early adopters but those early adopters who have definable problems that the consultant can help with.

1.2 Active Marketing of Services. Consultants need to market their services actively through as many channels as possible to stimulate potential clients' awareness and interest. Active,

TABLE 1.16

Intervening Tasks at Each Stage of the Intervention Process

Stage	Intervening Tasks
I. Scouting	1.1 Identification of potential early adopters 1.2 Active marketing of services 1.3 Collection of advance data on potential clients 1.4 Consultant team building
II. Entry	2.1 Gaining top management support 2.2 Development of contact networks and reference group support 2.3 Congruence with client norms, values, and culture 2.4 Presentation of intervention alternatives relevant to client's felt needs 2.5 Agreement on clear objectives 2.6 Detailed contracting for intervention resources and responsibilities 2.7 Express positive expectations for intervention success
III. Diagnosis	3.1 Active client participation in data collection 3.2 Accurate diagnosis
IV. Planning and Problem Solving	4.1 Involve work teams in family groups 4.2 Client participation in setting objectives for the intervention meeting

Stage	Intervening Tasks
	4.3 Creation of a climate of psychological safety
	4.4 Use of varied learning style inputs
	4.5 Data feedback
	4.6 Problem solving by participants
	4.7 Setting goals that are realistic, time-phased, and measurable
	4.8 Statement of specific action steps
	4.9 Identification of effects on other parts of the organization
	4.10 Adequate hygiene factors
	4.11 Feedback loops to diagnosis, planning, or intervention design steps
	4.12 Contract for follow-up activities
V. Action by Client	5.1 Action taken by the client
VI. Follow-up Technical Assistance and Support	6.1 Consultant maintenance of contact with client
	6.2 Feedback on change goals (or use of learning)
	6.3 Top management attention and support
	6.4 Rewards and reinforcement (or sanctions) for change objectives
	6.5 Establishment of reference groups
	6.6 Diffusion of changes to other parts of the organization

Stage	Intervening Tasks
VII. Evaluation	7.1 Level of evaluation
	(a) reaction of participants (b) learning from program (c) behavior changed or not (d) results of program
	7.2 Evaluation design
	(a) longitudinal (b) experimental
	7.3 Political sensitivity in the use of evaluation findings
VIII. Termination	8.1 Transfer of capability to the client
	8.2 Pace of termination
	(a) gradual/abrupt (b) planned/unplanned
	8.3 Reason for termination

if low-key, professional marketing efforts are probably as important for internal consultants as for their external counterparts, particularly in voluntary programs in which continued support will eventually depend on a flow of clients requesting service (Rogers, 1962; Havelock, 1969; Howe, Mindell, & Simmons, 1978; Warrick & Donovan, 1979). However, Spencer and Cullen (1979) found that consultants who engaged in active marketing were likely to push their own agendas at the expense of hearing or understanding the client's problems or objectives. It may be necessary, therefore, to make a distinction between marketing consultant services and the premature selling of services. Moreover, marketing will be unnecessary when the client has a specific concern and initiates contact.

1.3 Collection of Advance Data on Potential Clients.

Scouting potential clients by checking performance indicators (recent assignments, apparent felt needs, backgrounds of key personnel) helps consultants to prepare for initial client contacts and to appear credible and caring by obviously having done their homework. They also are better able to respond or propose appropriate next steps (Munger, Spencer, & Thomson, 1976; Zimmerman & Tobia, 1978). Spencer and Cullen (1979) found that successful consultants collected advance data on their clients, which reflects a recurring emphasis on data by these consultants.

1.4 Consultant Team Building. Consultant teams must be clear about respective members' roles and achieve some consensus about values and objectives, since any confusion or incongruence may be disconcerting to the client. Consultant teams which have shared expectations, have worked out a sensible division of labor, and are comfortable working together have a greater chance of success (Bennis & Schein, 1969; Beer, 1976; Buchanan, 1971; Spencer & Cullen, 1979).

Stage II: Entry

In this step, consultants make initial contact with the client, assess client readiness for change and for approach style, then contract with the client representative(s) as to the next steps in the intervention process. This contracting involves not only the task or business contract, but a psychological contract as well (Kolb & Frohman, 1970). A psychological contract must establish a sense of interpersonal trust and confidence between consultant and client for subsequent activities to be successful (Derr & Demb, 1974) or for the intervention effort to continue (Berg, 1977). Indeed, Spencer and Cullen (1979) present data which suggest that what is crucial to a successful intervention is not so much the obtaining of a

written contract but rather the development of an understanding of the client's essential needs and what the consultant can and cannot do (i.e., the psychological contract). The intervening tasks which may be necessary in this stage include:

2.1 Gaining Top Management Support. Numerous authors stress the importance of contacting and gaining the active support of persons as high in the management hierarchy as possible (Bennis, 1965; Greiner, 1967; Bennis & Schein, 1969; Beckhard, 1969; Buchanan, 1971; Srivasta et al., 1975; Zimmerman & Tobia, 1978). OD practitioners rank this variable highest in priority (ASTD, 1975). Spencer and Cullen (1979) found a higher frequency of explicit top management support in successful interventions than in unsuccessful cases.

2.2 Development of Contact Networks and Reference Group Support. Effective consultants appear better able to meet a large number of key members in a client organization, make friends, and establish a group of potential supporters (McClelland, 1975; Havelock, 1969; Yin et al., 1977; Ganesh, 1978). More effective consultants are more aware of the various actors, factions, and influence mechanisms in client organizations, and are able to penetrate the formal and informal authority groups to gain support from them (Kelley, 1979). Spencer and Cullen (1979) report some supportive evidence for this hypothesized task: Consultants in successful cases were more likely to develop networks within the client system, although this was not a frequent occurrence.

2.3 Congruence with Client Norms, Values, and Culture. Sensitivity to client norms, such as language, appearance, social status, or education, may be critical to consultant acceptance (Bennis, 1965; Bennis & Schein, 1969; Havelock & Havelock, 1973). Shared qualities increase interpersonal attraction, trust, and credibility--key ingredients in forming psychological contracts (Berschied & Walster, 1969). Equivalent rank or status, experience in line assignments, and a readiness to adopt and adapt a client's jargon contribute to success (Munger, Spencer, & Thomson, 1976). More generally, Spencer and Cullen (1979) found a higher frequency of consultant congruence with client norms in successful intervention efforts.

2.4 Presentation of Intervention Alternatives Relevant to Client's Felt Needs. Consultants who listen to clients carefully in order to determine the client's felt needs, and who then present intervention alternatives relevant to those needs, will be more successful than consultants who attempt to sell a program irrespective of the client's needs (Havelock, 1969; Beer, 1976; Wittreich, 1966). Spencer and Cullen (1979) report that consultants in successful cases designed the proposed change effort explicitly around the client's felt needs.

2.5 Agreement on Clear Objectives. Most authors stress the importance of consultant-client clarity and consensus on intervention objectives (Lynton & Pareek, 1967; Buchanan, 1971; Beer, 1976; Ganesh, 1978; Johnston, 1979). Interventions tend to fail when the consultant implements his or her own agenda rather than responding to client needs (Spencer & Cullen, 1979), or when he or she surprises a client by doing something other than what had been agreed to. Objectives stated in behaviorally-specific terms (Havelock, 1969; Havelock & Havelock, 1973; Nadler, 1977) and clearly related to the client organization's task or mission (Beckhard, 1969; Schmuck & Runkel, 1972) may increase the chances of intervention success.

2.6 Detailed Contracting for Intervention Resources and Responsibilities. Client-consultant contracts which specify intervention structure, role relations, the individuals responsible for managing the intervention process, schedules of activities, cost, and professional relations (e.g., who has access to data, or who gets publication credit) minimize the chances of misunderstandings that may jeopardize the intervention (Clark, 1975; McGill, 1977). Spencer and Cullen (1979), however, caution that resource contracts do not appear to be crucial to the success of the effort, and certainly do not predict success if they fail to reflect the clients' real objectives. Care must therefore be taken when developing such contracts so that client's do not develop, nor do the consultants unintentionally encourage, false expectations around a change effort.

2.7 Express Positive Expectations for Intervention Success. Positive expectations by consultant and client have a well-documented self-fulfilling prophecy effect. If participants are led to believe that the intervention has a high likelihood of resulting in meaningful changes, these results are more likely to be achieved. Conversely, if the intervention is seen as a routine exercise or "something that won't really change anything," the probability of success is reduced (Rosenthal, 1976; McClelland, 1975; Warrick & Donovan, 1979; Havelock & Havelock, 1973). Wittreich (1966) emphasizes the importance of reassuring clients by minimizing their feelings of risk or uncertainty about the intervention. Spencer and Cullen suggest that realistic expectations, rather than positive (or negative) expectations, are the hallmark of successful change efforts.

Stage III: Diagnosis

Diagnosis consists of activities by the consultant and client to collect and analyze data about the client problems. Data collection can be formal or informal, and both consultant and client can take more or less active role in collecting and

interpreting data from observations, interviews, surveys, and other data collection methods. The diagnostic phase often includes planning activities which become part of the intervention itself. The following intervening variables may be important in this and subsequent stages.

3.1 Active Client Participation in Data Collection.

Clients who are motivated appropriately and who participate in providing information about themselves are more likely to own the resultant data and diagnostic conclusions. Respondents should understand why data are being collected, who will see it, and how it will be used (Nadler, 1977). Respondent samples which include people from more than one hierarchical level may provide more accurate data (Greiner, 1967). The potential benefits to the information providers should be stressed. Both the client sponsor and the consultant should be ready to demonstrate that the efforts which go into the data collection lead to some meaningful change. Spencer and Cullen (1973) found that although consultants in successful efforts collected more data using more methods, active participation on the part of the clients had no systematic effect on the outcome of the effort. Such participation does not appear to be either necessary or sufficient for an effective intervention effort.

3.2 Accurate Diagnosis. An effective diagnosis should provide a client with both an accurate assessment of his or her actual situation and some indication of what an ideal situation would be. The tension or discrepancy between the actual and the ideal states can provide motivation and direction for change (Kolb & Boyatzis, 1974; Boyatzis & Spencer, 1976). The presentation of the data and the consultant's diagnosis constitutes a test of the effectiveness or accuracy of the earlier phases of the intervention process (Argyris, 1970; Nadler, 1977). A good diagnosis includes a realistic appraisal of the client resources and constraints which set parameters for possible intervention actions (French & Bell, 1973; Buchanan, 1971; Johnston, 1979; Warrick & Donovan, 1979). If an accurate diagnosis is not developed, action plans may be based on inadequate data; this leads to goals which are neither appropriate nor realistic (Spencer & Cullen, 1979). Thus, accurate diagnosis appears to be important to the success of OD efforts.

Stage IV: Planning and Problem Solving

This stage consists of feeding diagnostic data back to client representatives and helping them use this information to solve problems, set goals, and plan action steps. Activities may include training the client in concepts relevant to the OD process. The following intervening tasks may predict success in this stage:

4.1 Involve Work Teams in Family Groups. Several authors (e.g., Beer, 1976; Zeira, 1973) assert that interventions have the greatest impact when they involve natural work teams (e.g., a supervisor and his or her immediate subordinates). Spencer and Cullen (1979) found that the majority of their consultant sample, whether in a successful or unsuccessful case, used problem solving within family groups. Alternatives are peer groups (all participants drawn from the same hierarchical level of the organization), cousin groups (participants drawn from several hierarchical levels), and stranger groups. These may be less effective because they cannot deal with the specific task or interpersonal problems encountered in participants' actual jobs. Blake and Mouton (1979c) argue that initial learning can happen much more effectively in diagonal-slice learning groups, those which represent the full range of the hierarchy but include no boss-subordinate pairs in the same group. This should be followed by family team building.

4.2 Client Participation in Setting Objectives for the Intervention Meeting. Data feedback, training, or problem-solving activities are best started with a brief contracting discussion in order to surface expectations and set objectives for the specific meeting at hand (Knowles, 1970; Buchanan, 1971; Dunn, 1978). Diagnostic activities may raise questions and issues which must be dealt with before participants are ready to confront problem data or to work together to solve problems. In the absence of this task, the consultant must have a fairly extensive and accurate understanding of the client system (Spencer & Cullen, 1979).

4.3 Creation of a Climate of Psychological Safety. Consultants must put participants at ease and establish norms of open communication, trust, and self-control. Consultants create these conditions by appearing congruent with client norms, stating ground rules for behavior during the session, listening empathically during the contracting discussion, and modeling appropriate behavior. The client also contributes to a climate of psychological safety. Unconfronted or unfrontable issues within the client system may limit the consultant's freedom. The literature is virtually unanimous in asserting that this task is an important one (e.g., Kolb & Boyatzis, 1974; Beer, 1976; McClelland, 1975; Lench & Bell, 1973; McClelland & Winter, 1969; Harrison, 1970; Rodin & Janis, 1979; Warrick & Donovan, 1979; Johnston, 1979; Ganesh, 1978; Prakash, 1968; Cash & Minter, 1978; Durlak, 1979; Lambert, DeJulio, & Stein, 1978). Spencer and Cullen (1979) found that the absence of such a climate had an adverse effect on the client's ability to face and/or resolve sensitive issues, although its existence did not always predict success.

4.4 Use of Varied Learning Style Inputs. Adult learning theorists observe that mature people use a variety of learning styles. Kolb (1971) has described four such styles: Abstract Conceptualization (AC), Active Experimentation (AE), Concrete Experience (CE), and Reflective Observation (RO).

Kolb asserts that while most adults have a preferred learning style, learning is most efficient when a learner uses all four styles: learns or formulates an abstract idea (AC), tries it (AE), gets feedback (CE), and reflects on this feedback (RO), to develop a refined idea of how to do the task better (AC). The change process uses each of the four styles implicitly if all the phases are completed.

A number of authors (e.g., Greiner, 1967; Franklin, 1976) stress the importance of providing the client with a conceptual framework that aids in both organizing the data collected in the first diagnostic phases and providing some systematically linked change goals.

Two hypotheses follow from analysis of learning inputs. The first is that the design of interventions should keep in mind the dominant learning styles of client participants. The second hypothesis is that training and organizational interventions which include varied learning style inputs will be more successful in causing change (Kolb, 1976). Spencer and Cullen (1979), however, found that learning styles are not a crucial element of change effort design.

4.5 Data Feedback. Several authors (Beer, 1976; Franklin, 1976; Berlin, 1978) assert that OD programs which provide participants with objective data are more likely to result in constructive change. Feedback information should be accurate and timely, within a month of the time it is collected, lest it become stale or invalid due to organizational changes during the intervening period (Berlin, 1978). Spencer and Cullen (1979) found clear differences in how feedback to participants was handled by consultants in successful and unsuccessful cases. In successful cases clients received feedback that had been formatted, analyzed, and digested by the consultants.

4.6 Problem Solving by Participants. For feedback to be meaningful, participants must use it actively to solve problems. The data collected during the diagnostic phase can be used to develop action strategies, and to test the feasibility of potential solutions. Additional data may have to be collected to determine which action steps are most appropriate. One key ingredient of this task is that clients take, and are encouraged to take, the initiative to adapt learning or solutions to their own situations (Havelock & Havelock, 1973). Spencer and Cullen

(1979) point out, however, that there is considerable variance in the quality of the problem solving that actually takes place.

4.7 Setting Goals That Are Realistic, Time-Phased, and Measurable. Several studies indicate that if participants set realistic, time-phased, measurable goals for the intervention, these goals are more likely to be accomplished (Kolb & Boyatzis, 1974; Kay, French, & Meyer, 1965; Carroll & Tosi, 1973; McClelland & Winter, 1969). High quality goals are typically concrete, limited, and directly related to information about how the present system functions (Spencer & Cullen, 1979).

4.8 Statement of Specific Action Steps. The more that action steps for goal accomplishment are spelled out, the more likely it is that change actions will occur (Kolb & Boyatzis, 1974; McClelland & Winter, 1969). In some cases, this is not an appropriate task (e.g., the client only wants information), but when it is, successful cases are more likely to develop specific action steps (Spencer & Cullen, 1979).

4.9 Identification of Effects on Other Parts of the Organization. Problem-solving processes which identify and distinguish helpful and hindering forces, and the links and impacts the intervention may have with other actors in the organization, increase the likelihood that change will be accepted (Kolb & Boyatzis, 1970), assuming that such information is acted upon. In some intervention efforts this task may not be relevant. For example, in the Spencer and Cullen (1979) study, the OD efforts were discrete events, limited to a specific part of the organization in their scope and potential impact.

4.10 Adequate Hygiene Factors. A comfortable environment (e.g., accommodations, meals, absence of noise and distracting stimuli) may contribute to intervention success (Buchanan & Reisel, 1977; Lynton & Pareek, 1967). Turney and Cohen (1978) and Cohen and Turney (1978) note that military organizations have particular characteristics which have strong implications for OD interventions. In particular, the total immersion environment of military personnel means that there is a wider range of hygiene factors to be focused on than is the case in typical civilian organizations. Spencer and Cullen (1979) found no impact of hygiene factors on OD efforts in their military cases; this may have resulted from the use of internal rather than external consultants.

4.11 Feedback Loops to Diagnosis, Planning, or Intervention Design Steps. Several authors stress the importance of feedback loops in intervention processes. These loops are necessary in conjunction with the consultant's ability to sense when the

intervention is experiencing difficulties (or the client's needs change in medias res) and to respond by taking actions to get it back on course (Havelock & Havelock, 1973; Warrick & Donovan, 1979; Zimmerman & Tobia, 1978). Action to get back on course may mean returning to an earlier point in the intervention cycle or terminating the effort. It should be emphasized that difficulties in the change process can occur at any point. Key people can leave or go on vacation (Luke et al., 1973; McMillan & Langmeyer, 1975; Cohen & Turney, 1978). Resistance can develop as the implications of the diagnosis and the action steps are considered (Argyris, 1974; Luke et al., 1973). Moreover, consultants may make technical or judgmental errors (McMillan & Langmeyer, 1975). It may be that problems stemming from the earlier phases of the change effort manifest themselves only when the level of commitment is increased. Latent misunderstandings can suddenly surface when either clients or consultants are required to take specific, risky action steps. Effective intervention strategies will be those that build in the means and motivation for detecting errors on the part of either the client or the consultant. Reassessment and readjustment occurring earlier than the action step may also have an impact on the success of the effort (Spencer & Cullen, 1979).

4.12 Contract for Follow-up Activities. The effects of many interventions, especially training programs, do not last beyond the completion of the program, because no provision is made for follow-up activities to ensure that changes are, in fact, implemented and reinforced in the work environment (Franklin, 1976). Sometimes called re-entry activities, follow-up alternatives include provisions for continued consultant contact, goal progress review meetings, reference groups of people committed to the intervention objectives, and evaluation of the effort. More effective interventions may include contracting for follow-up activities as part of the intervention meeting (Rogers, 1962; McClelland, 1975; McClelland & Winter, 1969; Lynton & Pareek, 1967). Spencer and Cullen (1979) report that successful OD cases had a markedly greater frequency of follow-up activities.

Stage V: Action Taken by the Client

In this stage clients implement any action steps identified in the preceding stages. Generally, consultants have no direct role in this stage. It should be noted that not all OD efforts require independent action by the client (e.g., the client may only require information) (Spencer & Cullen, 1979).

Stage VI: Follow-up Technical Assistance and Support

This stage consists of maintaining supportive contact with the client: providing feedback, additional assistance and/or reinforcement to the client personnel who are implementing changes. The following intervening tasks may predict successful implementation and endurance of changes:

6.1 Consultant Maintenance of Contact with Client. Social interaction theorists observe that individual "changers" are naturally insecure and need continued help from prestigious and/or expert consultants to see that changes in fact take hold (Rogers, 1962; Havelock, 1969). Broskowski, Mermis, and Khajavi (n.d.) argue that to keep changes alive, organizations need "stay agents" as well as change agents. Interventions in which consultants maintain contact with clients during and after the planning and action phases may be more successful (Argyris, 1977; Lynton & Pareek, 1967). This can, however, be a difficult task to accomplish in organizations in which turnover of both clients and consultants is frequent (e.g., the military), although even in the military continued contact may be more likely in successful cases (Spencer & Cullen, 1979).

6.2 Feedback on Change Goals (or Use of Learning). Self-directed change theory (Kolb & Boyatzis, 1974; McClelland & Winter, 1969) indicates that the more feedback people receive about the change goals they have set, the more they change. Investigations of management by objectives programs have produced similar findings. Interventions which include goal progress review meetings (Carroll & Tosi, 1973; Straub et al., 1976) at regular intervals after the planning and action phases similarly should result in more observable results.

6.3 Top Management Attention and Support. Indications of continued interest and support from top management should stimulate maintenance or confirmation of change (Lynton & Pareek, 1967). Successful efforts tend to retain top management support and attention more frequently than unsuccessful cases; the lack of support clearly may be a critical factor in the unsuccessful efforts (Spencer & Cullen, 1979).

6.4 Rewards and Reinforcement (or Sanctions) for Change Objectives. Learning theory experiments have repeatedly demonstrated the effects of rewards on reinforcing a subject's new or changed behaviors. Clear rewards for implementing change objectives (top management attention, new title, enhanced "visibility" or status, new job responsibilities, increased pay, opportunities for further education, or other self-development activities) can be used to reinforce interventions (Lynton & Pareek, 1967; French & Bell, 1973; Kolb & Boyatzis, 1974; Beer, 1976).

Sanctions (for example, downgrading on an employee's performance appraisal for failure to meet affirmative action goals) are a possible, if less common, method of sustaining intervention effects. However, negative reinforcement is generally considered less effective than positive reinforcement.

This task may not be relevant for the military, in which units have relatively little discretion over the majority of rewards (Spencer & Cullen, 1979).

6.5 Establishment of Reference Groups. One powerful method of sustaining change is to encourage intervention participants to continue to meet on a regular basis to discuss learning from the intervention, review progress and problems in achieving intervention goals, and generally support and reinforce one another (Schein, 1969; Rogers, 1962; McClelland & Winter, 1969).

6.6 Diffusion of Changes to Other Parts of the Organization. Organizational interventions may be more effective if they involve change on a systematic basis by a number of organizational work groups, each in a way that reinforces the change by the others. In this way, the change may become institutionalized, so embedded or interwoven in the organization's bureaucratic functions, structure, and budget that it becomes difficult to uproot or stop (Buchanan, 1971; Cherns & Davis, 1975). Spencer and Cullen (1979) report that diffusion occurred in the majority of successful cases and not at all in the unsuccessful efforts. In addition, diffusion developed new contacts (additional clients) for the consultants of successful efforts.

Stage VII: Evaluation

Evaluation involves some effort by the consultant and/or the client to assess the effects of the intervention. Evaluation, by its very nature, has the effect of reinforcing change objectives by providing feedback on goal attainment (the feedback mechanism described in 6.2 above). It also assesses the success of the intervention effort. The purpose of such assessment may be to improve intervention methods (formative evaluation) or to summarize final results (summative evaluation).

7.1 Level of Evaluation. Kirkpatrick (1967) has suggested that intervention can be evaluated at four levels: (1) how much the participants like the program; (2) what participants learn from the program; (3) whether or not participants actually change their behaviors as a result of the program; and (4) whether or not the organization actually changes on hard outcomes as a result of the program. Evaluations are most often made of successful cases and tend to focus on the results level.

Commitment to higher levels of evaluation may predict intervention success (Kolb & Boyatzis, 1974; Munger, Spencer, & Thomson, 1976). Formative "post-mortem" evaluation, in which consultants review why a given intervention succeeded or failed, can improve both consultant skills and intervention methods. Formal cost-benefit evaluations may reinforce intervention outcomes because they involve some of the follow-up mechanisms previously discussed: top management attention, feedback, or rewards and sanctions.

7.2 Evaluation Design. Much of the literature reported detailed analyses of OD studies using the internal and external validity criteria proposed by Campbell and Stanley (1966). More elaborate experimental designs, reporting results less susceptible to errors caused by these factors, are considered more successful by academic standards (Pate et al., 1976; Srivasta et al., 1975; Cummings, Molloy, & Glen, 1977; Cummings & Molloy, 1977; Lindell & Drexler, 1979; Armenakis & Smith, 1978; Andrasik, 1979; Armenakis, Field, & Holley, 1976). It is questionable, however, whether elegance of methodological design carries much weight with operating managers. But a suboptimal evaluation design is better than no evaluation design, and there are numerous cases where retrospective quantitative analyses have proved highly informative (e.g., Kimberly & Nielsen, 1975).

7.3 Political Sensitivity in the Use of Evaluation Findings. Evaluation findings can have potent political impact, (Argyris, 1974; Crockett, 1977). Data which indicate programs favored by top management are ineffective, or otherwise embarrass influential persons or organizational interest groups, can result in intervention failure and termination of the consultant. Favorable data used astutely can add considerable impetus to the change effort. Consultants who calculate carefully the political impacts of evaluation data increase their chances of being effective.

Stage VIII: Termination

This stage involves the withdrawal of the consultant from the client system. Intervening tasks which may predict successful interventions include:

8.1 Transfer of Capability to the Client. Effective consultants work to transfer their knowledge and skills to their clients, enhancing the latter's capability to continue development efforts with less external assistance. Interventions in which consultants succeed in transferring capability to their clients (as perceived by the client) may be more successful (Berlew & Leclerc, 1974; Havelock & Havelock, 1973; Lippitt & Lippitt, 1975; Ganesh, 1978; Spencer & Cullen, 1979).

8.2 Pace of Termination. Franklin (1976) observed that consultant termination of contact with clients may be gradual or abrupt and planned or unplanned. The implication is that in effective interventions termination is gradual and planned. The data from Spencer and Cullen's (1979) study support this notion: all but one of the successful cases had a gradual, planned termination with clearly defined end points.

8.3 Reason for Termination. Successful interventions presumably are terminated because their original objectives are achieved or the client has developed the capability to continue developmental efforts without external assistance. Spencer and Cullen (1979) did, in fact, find that all but one successful case terminated because the original objectives were achieved. Neutral reasons for termination include exhaustion of resources, withdrawal of consultant or client for reasons beyond either's control, or completion of the agreed upon sequence of activities. (Simple completion of a series of steps may connote either success or failure.) Unsuccessful interventions are terminated for reasons of dissatisfaction by client or consultant (e.g., because of inability to agree on objectives or methods, failure to achieve objectives, personality clashes, or excessive use of resources).

Toward a Dynamic Heuristic of the Intervention Process

As Table 1.16 and the text following indicate, the intervention process is a very complex one. At each step of the way an unknown number of alternatives are possible. At this point, however, there are no clear-cut decision rules. Indeed, although it is possible to prescribe tasks thought to be important to the process, there is not even agreement among practitioners on a standard list of these tasks. The list proposed is not exhaustive, but rather indicative of some issues in the intervention process.

Because there are no established decision rules, the models of the intervention process are not like the dynamic models in economics or sociology which operate with fixed decision rules, well-defined variables, and specified interactions between variables. The lack of specification makes it most important that the consultant be aware of and understand the need to continually monitor progress in an intervention effort and to respond according to this information. The following heuristic should alert consultants to the complexities of the intervention process and to how critical it is for consultants to adapt their behavior to situational contingencies.

Feedback loops are an integral part of the intervention process. At any stage the consultant may find that problems or

aspects of the situation require either returning to an earlier step and retracing the effort or terminating the process altogether. At any of the stages unforeseen problems and/or errors can happen. The nature of the problem or error will determine to which stage the process must return, or whether the intervention should be terminated. Figure 1.4 illustrates a dynamic heuristic of the intervention process. The following section will briefly suggest possible problems at each stage which may necessitate retracing of various steps or exiting from the client system altogether.

Entry

At the entry stage almost any significant problem will cause the consultant to leave the client system and return to the scouting stage. Contact with the client may be maintained, and the consultant may actively market his or her services in an effort to solve the problem and effect a reentry (as in arrow a in Figure 1.4). On the other hand, the consultant may see the entry problem as impossible to overcome and return to the scouting step with a new client as the focus. For example, if the consultant found on entry that top management was divided on whether or not to use consultants, the consultant should return to the scouting stage and actively assess the readiness of the client system, while at the same time collecting additional information on the client system.

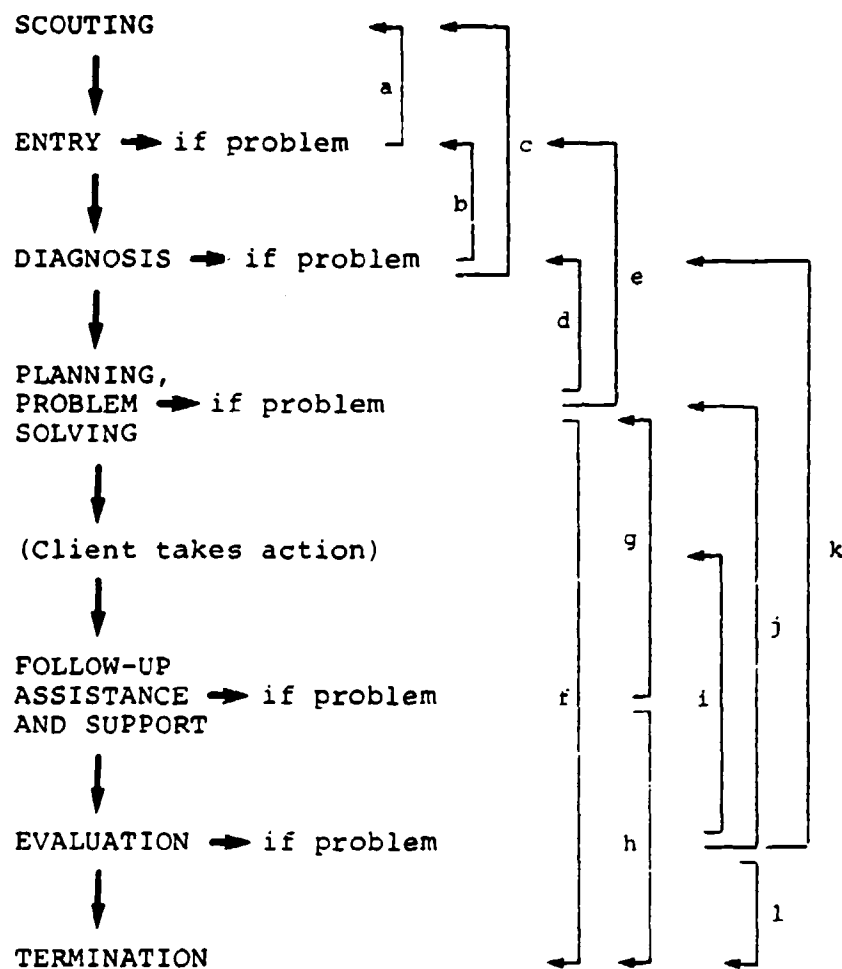
Other problems or existing situations may require that the consultant leave the client system altogether. If, for example, there are already consultants in the system, there may be no point in attempting entry. Similarly, a consultant may decide that a client has no felt need and one cannot be legitimately identified. Other problems leading to a consultant leaving the client system altogether include a consultant's inability or unwillingness to accept a client's norms, or a consultant's and client's inability to agree on clear objectives for an intervention effort.

Diagnosis

As can be seen in Figure 1.4 (arrows b and c) problems in this stage may require returning to the entry stage or to the scouting stage. If the problem is too severe, it may force a consultant out of a system altogether. Problems of this type (which may be amenable to solution by tasks in either preceding stage) include such situations as members of a client system not providing requested information because they are suspicious of a change sponsor's intentions; clients refusing to release critical data to their consultants; or a client system suffering from too much data collection.

FIGURE 1.4

A Dynamic Heuristic of the Intervention Process



Other problems may require solutions that specifically dictate the return to one or the other stage. For example, if consultants cannot agree among themselves on the meaning of data which have been collected, they may need to return to the scouting stage and do some team building among themselves. If a client refuses to release critical data which had been contracted for, the consultants may need to renegotiate the contract.

Planning, Problem Solving

Problems or errors in this stage may require the consultant to return to the diagnosis stage (arrow d in Figure 1.4), to the entry stage (arrow e), or to terminate the intervention effort (arrow f). A consultant may need to return to the diagnosis stage, for example, if a client responds to data feedback with counterexamples or new data. A client may also offer alternative interpretations (diagnoses) which require returning to the diagnosis stage. In returning to the diagnosis stage, a consultant may need reassess the original diagnosis or collect additional data.

In responding to data feedback the client may resist the data, leading the consultant to return to the entry stage to solve the problem. Developing contact networks, reclarifying objectives, recontracting and/or encouragement by expressing positive expectations may help the client accept the data being presented. In a positive situation, data feedback may lead the client to want to do more. This situation will also require returning to the entry stage in order to recontract and come to a new agreement about the objectives of the intervention effort.

Several problems in this stage can lead to premature termination. If, for example, the client completely denies the data, termination may be the only possible step for the consultant to take. Conflict around the specific action steps identified or the setting of goals may also lead the consultant (or the client) to terminate the intervention process. This may occur if reasonable action steps cannot be agreed upon or if realistic goals cannot be established.

Follow-up Assistance and Support

Problems arising in this stage of the process (arrows g and h in Figure 1.4) tend to send the consultant back to the planning and problem-solving stage or out of the client system altogether (termination). In following-up and giving feedback on client progress, the consultant may discover that the solution has been significantly modified in its implementation, so that it is no longer relevant to the problem as originally defined. This requires returning to the planning and problem-solving stage to respecify the action steps. This may also be

necessary in situations when the proposed solution is discovered to be impractical. The implementation of the change process may also create a need to retrace previous steps, for example if implementing the solution produces additional information about the system or raises new issues. Depending on the extent of the new information or the modification of the solution, such problems may feedback to even earlier stages in the intervention process. The consultant may find it necessary to return to the entry stage in order to recontract or to the diagnosis stage to rethink the problem.

Other problems or situations may cause the consultant to terminate the intervention process at this point. For example, the attention and support of top management may waiver. There may be no interest in implementing the action steps, or top management may become distracted from the intervention effort by other issues or situations. Loss of top management support may cause the premature termination of the process. The consultant may also decide to terminate if the client persistently resists the realistic assessment of progress (e.g., persists in a nonproductive direction even when the progress review shows a mistake). Finally, on a positive note, the consultant may terminate if the process of diffusing the change to other parts of the organization has transferred the necessary capabilities to an internal agent.

Evaluation

As Figure 1.4 illustrates, problems arising in the evaluation stage can bounce the consultant back to the planning and problem-solving stage (arrow i), to the client action stage (arrow j), or to additional diagnosis or else rediagnosis (arrow k), or they can lead to early termination (arrow e). The problem most likely to return the process to the planning and problem-solving stage is the discovery that the implemented solution does not work. In this case the consultant must go back to the planning and problem-solving stage and identify a new solution.

The process may return to the action stage when evaluation shows that the solution was not implemented as designed. For example, if people are not sent to the training sessions, task forces don't meet, or funds are not made available, the change process may never get off the ground. If it seems likely that this sort of problem is not the result of client resistance, returning to the action step and retracing the process may resolve the problem. The consultant or client may also gain new insight into the problems of the system as a function of the evaluation stage, leading to a return to the action step in order to put this new knowledge to work.

The evaluation stage may also lead to early termination under several circumstances. First, evaluation may indicate that the client has a negative view of the consultant, and feels that the consultant's presence has become a barrier to further progress. This can prevent evaluation of the intervention process. The evaluation may also be blocked if the client is unprepared to participate in further data collection. Finally, there may be no performance measures available (against which the intervention could be compared) or what is available may be too aggregated to be informative. Performing an evaluation of the intervention effort may thus effectively be blocked. In this situation, the consultant may have no choice but to terminate.

It can be seen from these examples that the intervention process is unlikely to be an orderly progression from one stage to the next. Each stage includes a number of points at which the optimal step leads back to an earlier stage rather than to a new step. The consultant, to be effective, must be sensitive to the possibilities of these feedback loops and ready to retrace earlier steps in the intervention process when necessary.

In summary, studies of intervention process can provide a "job task/function analysis" description of what consultants do at various points during an intervention. They do not, however, clearly indicate the competency or skill characteristics of consultants who perform these job functions effectively.

The competency groups discussed above can be hypothetically referenced to the tasks inherent in the intervention process (see Figure 1.2), but the dynamic nature of the intervention process makes it likely that many of the competencies will be needed at each step.

SUMMARY

The theoretical, descriptive, empirical, and case study literature on consulting was reviewed. Concepts and findings were analyzed in four variable groups:

- (1) consultant characteristics: demographics, attitudes and values, education and training, work experience and consulting experience
- (2) consultant competencies: personal characteristics or skills of individuals, including rapport-building, diagnostic, influence, and administrative skills
- (3) consultant role dimensions: internal and external locus; "advocate," "expert," "trainer," "problem-solving collaborator," or "interpersonal processor" relationship with the client, and variables descriptive of consultant-client role interactions
- (4) consultant intervention method and process behaviors: the specific techniques (e.g., T-group, structured training program, survey-guided development) and the steps in the process (e.g., diagnosis, planning, or evaluation) used by the consultant

Consultant characteristic variables appear to have little influence on the success or failure of interventions. Data on consultant role taking are limited but suggest that task-oriented, structured, "expert" approaches may be more effective than the traditionally favored "collaborative" and "processor" roles. Data on consultant intervention methods and processes have little to say about the consultant skills required to use these intervention methods and processes beyond the implications that consultants (as opposed to videotapes, or survey data alone) do make a difference and that more structured approaches (e.g., job and organizational design) are more successful, because these leave less opportunity for consultant incompetence.

The study of competence must therefore be approached directly, through the specific behavioral description of what successful as opposed to unsuccessful consultants actually do. The literature suggests that consultant competency variables can be grouped into four clusters of rapport-building skills, diagnostic skills, influence skills, and administrative/managerial skills, but more empirical research is needed to determine which competencies actually comprise these factors.

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Chapter 2:

COMPETENCIES OF THE
ARMY ORGANIZATIONAL EFFECTIVENESS STAFF OFFICER

by

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INTRODUCTION

The purpose of this chapter is to summarize the results of an empirical study involving more than 125 practicing organizational effectiveness consultants, conducted to determine the critical knowledge, skills, abilities, and characteristics required for successful performance under a wide range of conditions within the Army. The goal of this research was to go beyond descriptive accounts of consultant performance in general (e.g., studies of consultant roles or case studies of particular interventions) and focus instead on those qualities that distinguish the most effective commissioned Organizational Effectiveness Staff Officers (OESO) in the Army from their less effective counterparts.

As noted in Chapter 1, existing case studies of consultant interventions in general lack behavioral detail which would allow us to ascertain the actual abilities applied to situations involving consultants; in addition, the existing research on the consultant role is normative in nature, without reference to a performance criterion. This present study differs from previous efforts in four ways:

- (1) It focuses on competencies, or characteristics of the performer, as well as on the myriad of tasks performed by OESOs.
- (2) It was guided not by what people thought was important but by how people actually performed.
- (3) It defines competencies that are behaviorally specific rather than vague or general, so they may be observed and assessed readily.
- (4) It emphasizes those characteristics of superior performers in effective situations rather than those of average performers in routine situations.

This report is based on a research process called Job Competence Assessment. The primary objective of this procedure was to document the "competencies" which underlie performance in the OESO role. A second objective of this process is to identify behaviorally specific and measurable competence indicators which are capable of translation into criteria for selection, assessment, training, and personal development.

The kernel of competence lies in effective performance by an individual. For the purposes of this report, a competency, or component of overall competence, is a characteristic of an individual that underlies effective work performance. A competency can be any human quality: It can be knowledge, a category of usable information organized around a specific content area (for example, knowledge of mathematics); it can be a skill, the ability to demonstrate a set of behaviors or processes related to a performance goal (for example, logical thinking); it can be a trait, a consistent way of responding to an equivalent set of stimuli (for example, initiative); it can be a self-schema, a person's image of self and his or her evaluation of that image (for example, self-image as a professional); or it can be a motive, a recurrent concern for a goal state or condition which drives, selects, and directs behavior of the individual (for example, the need for efficacy). A person may possess many of these characteristics, but by our definition, if the knowledge, skill, trait, self-schema, or motive is not explicitly related to effective performance, it is not a competency.

Task performance provides an indication of the required competencies, but does not define the competencies directly. Job task analysis methods, accordingly, have been employed to identify the requirements of different jobs, and these job requirements have served as the criteria for inferring knowledges, skills, or other characteristics that "cause" job performance. The many job tasks performed in the myriad of careers in which people are engaged have produced a search for single variables, such as I.Q., which would account for a variety of performance outcomes in a variety of roles.

With the publication of Talent and Society (1958), David McClelland and his colleagues expressed interest in the concepts of competence and competency measurement. In "Testing for competence rather than for 'intelligence'" (1973), McClelland again voiced his concern about the direction the testing movement was taking, noting a consistently low correlation between I.Q. and job or life effectiveness. This article advanced an argument for empirical studies of knowledges, skills, and other personal characteristics directly related to real-world outcomes, as opposed to single variables to predict what a person could do or how successful he or she would be in life.

This idea has important implications for a methodology of job performance assessment:

- (1) Performance outcomes can be measured in terms of competencies, or characteristics of people who are particularly effective in a job.

- (2) Analyses of individual tasks required by a job do not provide a useful method of identifying the outstanding job incumbent.
- (3) Once defined, the competencies of the outstanding performer can be related directly to training and development needs.
- (4) Individual competence must be considered within a system, which includes the person, the job, and the work environment within which the two interact.

The Job Competence Assessment process is based on the assumption that the best way to identify knowledges, skills, abilities, or other characteristics of the effective performer is to identify the effective performer, study what he or she actually does on the job that distinguishes him or her from individuals whose performance is less satisfactory, and identify the knowledges, skills, abilities, or characteristics implied by these behaviors that are responsible for this difference. This process is thus a criterion-based approach, which would identify critical skills and competency requirements of the truly effective OESO, as opposed to a norm-referenced approach, which would identify the knowledges and skills of OESOs possessing, on the average, a lesser degree of competence.

Explicit in the research methodology is the identification of effective performance standards. However, rather than relegating this task to the conclusion of this research and the specification of training needs, the Job Competence Assessment method begins with a study of external indicators associated with effective performance. These indicators can then be tied directly to the identification of competencies in OESOs during their first assignments as well as to a comprehensive performance assessment system which can be used to monitor the effectiveness of training.

The Job Competence Assessment Process

The Job Competence Assessment process involves six steps:

1. Criterion analysis. Top performers are identified through a variety of techniques, including evaluation of "hard" outcome measures such as interventional effectiveness indicators, peer and supervisory nominations or evaluations, and organizational climate measures. Those performers who consistently excel on several performance criteria become the standard of analysis in the remaining steps of the process.

2. Job task and performance characteristics analysis. A panel of experts on the job to be analyzed is convened to suggest lists of key tasks performed in the job and characteristics of people who do the job well. These lists are then rated according to how strongly the tasks and characteristics are seen to be related to superior job performance, and those rated most highly serve as hypotheses about important job functions and competencies.

3. The behavioral event interview. In-depth investigative interviews are conducted with both outstanding and average job incumbents. The interviews focus on instances of effective and ineffective job performance and on those behaviors which contributed to these outcomes.

4. Development of the competency model. The interview data are subjected to content analysis in which behavioral patterns and themes separating the outstanding and the average incumbents are extracted. This step provides behavioral definitions to the characteristics suggested in Step 2.

5. Validation of the competency model. The resulting model may be validated in three ways. First, it can be compared with the results of the performance characteristics analysis to establish consistency between these two job analysis methods. Second, interviews can be conducted with an additional set of outstanding and average job incumbents to see how well the competency model "predicts" the performance level of these interviewees. Finally, objective tests can be developed to measure the presence of competencies which underlie the behaviors reported in the interview; these data are used to provide support for the competency model at the psychological level.

6. Application of the competency model. Once validated, the model can be used in a variety of ways: as the basis for the design of training and career development programs; or as the primary criterion in evaluation procedures such as selection tests, interviews, assessment centers, and performance appraisal.

The key aspects of this process (job task and performance characteristics analysis, behavioral event interviewing, and developing and validating the competency model) are explained in some depth in the following paragraphs.

Job Task and Performance Characteristics Analysis

The traditional technique for identifying common or unique elements of success is to perform one of several types of job function analyses. The classical approach, best exemplified and summarized by Fine and Wiley (1971), involves classification of jobs according to continuous job requirements. The job function analysis approach, based primarily on motor skills analysis, is useful for identifying those skills but is too narrow for determining other significant dimensions of job competence. This approach, carried to an extreme, may yield taxonomies of hundreds, even thousands, of motor skills connected with particular kinds of jobs. These taxonomies are frequently used in developing training programs; but for reasons other than the neglect of many significant areas of job competence, such taxonomies are not suitable guides for training. For example, many of these skills can be quickly acquired on the job and are therefore not worthy of attention in formal career training programs. While job function analysis may suggest common tasks for setting equitable pay scales, it does not differentiate those aspects of the job most important to success, nor does it identify critical or differentiating characteristics of the top performer.

Flanagan and Burns (1957) moved away from the pure task orientation approach in job function analyses by having supervisors record what they considered critical incidents in the work of subordinates. Whenever an employee did something especially praiseworthy or undesirable ("critical" to either good or poor performance), a notation was made in the employee's record. Over time, a list of skills, abilities, and characteristics that were not simply actions or action sequences was compiled. These "critical behaviors" were then classified into certain categories which could be used as rating scales. When this rating system is used, supervisors note and record all "critical" instances of on-the-job behavior.

While this approach is a major departure from job function analysis, it suffers from many shortcomings. An obvious weakness is that the performance criteria identified by this method are only subjective judgments by supervisors. Thus, criteria are severely limited by individual values, biases, and beliefs about what should be important dimensions of the job or characteristics of job performers. Although the critical incident method offers advantages for employee counseling by providing the supervisor with a record of behavioral observations to discuss with the employee, it does not lend itself to objective qualifications. Furthermore, there is no evidence that this approach has been used effectively for identifying attributes of managers, as opposed to those of "hourly" employees.

Performance characteristics analysis, based on Primoff's job element analysis (1977), fills some of the gaps in Flanagan's clinical procedure. It is more systematic in its development, more quantifiable, more sophisticated in its statistical analysis, and more amenable to validation. McBer's adaptation of the process begins with the input of a resource panel of experts on the job. These individuals should be outstanding performers in the job who also know a large number of personnel who are successful in their work. This panel identifies the personal characteristics believed to be important to successful job performance. Particular care is taken to ensure that the characteristics are generic and behaviorally specific, in order to avoid vagueness or lack of objectivity.

Once the characteristics have been identified, they are rated in terms of their perceived overall importance to job success. Each characteristic receives a rating on four scales which reflect different aspects of performance: (1) Does the characteristic distinguish between the superior and the average performer? (2) Do marginal performers possess the characteristic? (3) Is the characteristic critical to consider for selection or training? (4) Can the characteristic be obtained in the general population? The output of this exercise is an ordered list based on ratings on these four scales. This list serves to form a set of hypotheses about the critical competencies that must be verified in the interview.

For this study, we have also included a task analysis inventory based on the same methodology as the performance characteristics analysis. The same panel that generated the competency hypotheses would also provide a list of job tasks considered to represent a common core of activities. Each of these tasks is then rated on three primary aspects of importance to the job: (1) Is the job task important to outstanding results? (2) Is the job task required for routine performance? (3) Is the task critical to consider in performing the job? There are several advantages to utilizing performance characteristics analysis as a supplement to the job task analysis approach:

- (1) The procedure identifies abilities, aptitudes, interests, and other personal characteristics not found in standard job function analyses.
- (2) The identification of critical characteristics is based on a comparison of superior versus average performers.
- (3) The procedure involves multiple ratings of characteristics to increase the accuracy of ratings.

- (4) There is built-in flexibility for correcting errors during development of the characteristics list.
- (5) The ratings are efficient and can be given quickly by any number of job incumbents in the field.

The Behavioral Event Interview

While the performance characteristics analysis approach identifies critical and quantifiable skills and abilities more precisely than other procedures, it still relies on expert judgment. In spite of sophisticated statistical procedures for distilling these judgments into a readily usable form, this approach fails to overcome the problem of perceptual screening through biased values and beliefs.

Any judgment-based approach may reflect reliably observed behavioral outcomes but may also provide little insight into the skills and abilities that are causally related to those outcomes. A clear example of this phenomenon comes from a study of Foreign Service Information Officers in the Department of State (McClelland & Dailey, 1973). It has been universally agreed that superior officers possessed a high degree of language skills that enabled them to deal effectively with people from different nationalities and backgrounds. Language skill per se is a criterion that can be rated easily and reliably. However, the study found that these superior officers actually communicated with people so well because they possessed two other characteristics which facilitated their language skills. They had the ability to empathize with people (i.e., to use nonverbal cues as information and to ask questions designed to elicit the real needs of their clientele). In addition, they had a strong positive attitude toward people in general, reflecting a belief that people are basically good and that they have the capacity to change for the better when given the means to do so. If training were aimed only at the learning of language skills, it would ignore the critical causal elements necessary for superior performance as a Foreign Service Information Officer.

To address this problem of identifying a person's general characteristics that are causally related to complex outcomes, the present research incorporates a structured technique known as the behavioral event interview. This technique, developed by McClelland and his colleagues at McBer and Company, focuses on differences between superior and average job incumbents. Once performer groups have been identified, each individual is asked to describe what he or she actually did in job situations which were important to him or her. The interviewer does not

ask interviewees to describe characteristics they think contribute to their success, but rather to describe the other people involved in the incident; the events leading up to it; the thoughts, feelings, and desires involved; the interviewee's actual behavior in the situation; and the outcome. Typically, the interviewee is asked to supply a brief job description and then to describe six or more "behavioral events," some considered effective ("high points") and others considered less effective ("low points").

A principal difference between the behavioral event interview and the critical incident technique is the non-directive yet structured format of the former technique. Rather than asking leading questions which assume what aspects of the job are important (e.g., "Can you think of a time when you disciplined a subordinate?"), the interviewer functions as a neutral reporter seeking the facts that are important to the interviewee (e.g., "Can you tell me about a time when you felt particularly effective?"). The interviewer prevents the interviewee from pursuing generalities or espousing personal theories of leadership by keeping the interviewee focused on what he or she actually did, in sufficient detail to allow the interviewer potentially to participate in the same situations and achieve the same results.

Development and Validation of the Competency Model

The first step in the development of a competency model is the reduction of the behavioral event interview data. The interviews, in summary form, include a specification of the major responsibilities and tasks fulfilled by the job incumbent, a thorough reporting of the behavioral events, and a summary of performer characteristics thought by the interviewee to be important to performing his or her job effectively. These data are subjected to a rigorous, in-depth thematic content analysis in which effective and less effective incumbents are compared according to the tasks they perform, their actual behavior, thoughts, and feelings, and the results reported to have been achieved.

During this analysis process, a behavioral codebook is generated which serves two main purposes:

- (1) It documents, very specifically, those thoughts, actions, or other expressions of competency which discriminate the effective performers from their less effective counterparts.

- (2) It forms a scoring key on the basis of which a competency model can be validated using an independent sample of interviewees whose level of performance is known.

The codebook permits the design of objective scoring techniques applied to the interview data. These techniques allow additional interviews to be checked reliably for the presence or absence of competencies. Besides its use in competency model validation, such a scoring system enables evaluators to monitor the performance of job incumbents following training.

In addition to yielding behavioral data in the form of a codebook, analysing data from the interviews and the job task and performance characteristics analyses produces hypotheses about the psychological constructs which underlie the reported behaviors. Our previous definition of a competency makes the point that competencies are causes of behavior, not the behaviors themselves. Accordingly, the competency codebook is not a behavioral taxonomy but rather a set of behavioral indicators that represent underlying competencies. A logical validation step, therefore, might take the form of a limited test battery designed specifically to test for those competencies which are hypothesized to exist in the OESO population. The results of testing would yield data to support a given competency, up until now represented as a specific aggregation of behaviors. Testing would not, of course, either validate or invalidate the presence of behaviors in superior OESO which distinguished them from their average counterparts, but it would support the way a competency is conceptualized and provide information about how competencies relate to one another in particular job situations.

PROCEDURE

Job Task and Performance Characteristics Analysis

At the outset of the study, the first author met with representatives of the directorates and members of the faculty of the Organization Effectiveness Center and School (OECS) at Fort Ord, California. One purpose of this meeting was to convene an expert panel which would generate a list of tasks regarded as important to performing the OESO's job and a separate list of characteristics thought to be typical of outstanding OESO performance. A similar meeting was later held in Atlanta, Georgia, concurrent with the International OESO Conference sponsored by FORSCOM, where a panel of 12 practicing OESOs was gathered to perform the same task. The instructions given to the panel members regarding the generation of the task list were simply to provide as exhaustive an accounting as possible of tasks seen to be critical to the performance of the OESO's mission; that is, the tasks were part of accepted practice, and a failure to perform the tasks might conceivably jeopardize the mission. Regarding the generation of the lists of performer characteristics, the panels were asked to suggest areas of knowledge, skills, abilities, or other individual characteristics which were thought to be related to outstanding performance in the OESO's job. The purpose of these meetings was not to debate the relative merits of the suggested job tasks or performance characteristics, but simply to generate as many as possible in the three hours devoted to the process. The only other instructions given to the panels in their generation of the lists of performance characteristics were that the characteristics should be behaviorally specific or sufficiently descriptive of the performer to be identifiable through observable action. (A characteristic such as integrity, therefore, would not be accepted, but a characteristic such as "presents one's views in the face of opposition" would be allowed.) The combined output of the two panels included a list of 71 job tasks and 115 performance characteristics, after redundancies were eliminated.

Through the assistance of ARI and OECS, a mailing list containing the names of 475 practicing OESOs, both commissioned and non-commissioned officers, was provided to our research staff. As our study was designed only to include commissioned officer OESOs, the list was narrowed down to 300 individuals believed at the time to be performing as OESOs. To each of these

individuals was mailed the lists of tasks and characteristics generated by the two panels, along with corresponding questionnaires which provided space for recording ratings of the tasks and characteristics. Each OESO in the sample was instructed to rate the set of performance characteristics according to three criteria and accompanying instructions elucidating the criteria:

Rating 1: Are these job tasks important to outstanding results? (Mark a check for each job task that clearly leads to outstanding results. Do not check those job tasks that are necessary for routine performance of the job but do not relate to outstanding results.)

Rating 2: Are these job tasks required for routine performance? (Mark a check for each job task that all OESOs need to perform as a matter of routine. Do not check those tasks that only a minority of OESOs are capable of performing.)

Rating 3: Which tasks are most critical to consider in performing a job? (Mark a check for each task that is essential to the majority of OE interventions. Do not check those tasks which can be omitted from an intervention without causing trouble.)

Similarly, each OESO was asked to rate the set of performance characteristics according to the following four criteria and accompanying sets of instructions:

Rating 1: Do these characteristics distinguish between the superior and average performer? (Mark a check for each characteristic that clearly distinguishes superior performance as an OESO. Do not check those characteristics that are just as important for satisfactory performance as they are for superior performance.)

Rating 2: Do marginal performers possess these characteristics? (Mark a check for each characteristic that is possessed by many people when you would consider to be marginal or barely satisfactory OESOs. Do not check those characteristics that relatively few marginal performers possess.)

Rating 3: Which characteristics are most critical to consider for selection or training? (Mark a check for each characteristic that is absolutely essential to consider in selecting or developing a person to be an OESO. Do not check those characteristics that are not absolutely essential or are presumably possessed by most perspective OESOs.)

Rating 4: Which characteristics cannot be obtained in the general OESO population? (Mark a check for each characteristic that is not possible to find among the general population of OESOs. Do not check those characteristics that are possessed by at least some OESOs with whom you have had experience.)

A total of 120 OESOs responded by returning their surveys. Twenty-three surveys had to be discarded due to apparent misunderstandings of the instructions by some, and noncompletion of the survey by others, leaving a total of 97 surveys (approximately 32 percent) returned. We suspect, however, that the return rate would have been considerably higher, statistically, had the most recent mailing addresses been available to us; 15 additional surveys were returned uncompleted, not by the OESO to whom they were mailed, but by the installation where the OESOs were supposedly located. There was no way to ascertain the number of incorrect mailings which were not returned.

The responses to the job tasks and performance characteristics surveys were combined in each case to form separate measures of the relative importance of the tasks and characteristics to different aspects of OESO performance. For both the tasks and characteristics, it was necessary to determine which of each was seen to be most critical to successful performance, as well as which tasks and characteristics were also seen to be critical to average or routine performance. The three significant ratings from the job task analysis survey were accordingly combined to form two separate scales: success value and the routine value.

The success value of a job task signifies the degree to which the task is perceived to make the difference between a successful and an unsuccessful OESO intervention, weighted by how critical it is as a standard mode of performance:

$$\text{success value} = 2 * \text{Rating}(1) + \text{Rating}(3) - \text{Rating}(2)$$

A task will receive a high success value if it clearly distinguishes the successful intervention, if it is seldom required for routine performance, and if trouble is likely if the task is omitted from an intervention.

The routine value of a task signifies the degree to which the task is perceived as both important in the routine performance of duty and critical to the effectiveness of the overall intervention:

$$\text{routine value} = 2 * \text{Rating}(2) + \text{Rating}(3) - \text{Rating}(1)$$

A task will receive a high routine value if it does not, by itself, lead to the success of an intervention, if it is required for routine performance, and if trouble is likely if the task is omitted from an intervention.

Correspondingly, the four ratings from the performance characteristics analysis were combined to perform two separate scales: success value and the threshold value.

The success value of a characteristic signifies the degree to which the characteristic is perceived to differentiate outstanding from average OESO's weighted by how critical it is as a criterion for selection or development:

$$\text{success value} = 2 * \text{Rating}(1) + \text{Rating}(3) - 2 * (\text{Rating}(1) * \text{Rating}(4)) \\ - \text{Rating}(2) - \text{Rating}(4)$$

A characteristic will receive a high success value if it clearly distinguishes the superior performer, if almost no marginal performers possess it, if trouble is likely if it is ignored in selecting or training OESOs, and if the characteristic can be found in at least some members of the population from which OESOs are drawn.

The threshold value signifies the degree to which the characteristic is perceived to be both present in average OESOs but nevertheless critical to consider for selection or development:

threshold value =

$$2 * \text{Rating}(2) + \text{Rating}(3) - 2 * (\text{Rating}(2) * \text{Rating}(4)) \\ - \text{Rating}(1) - \text{Rating}(4)$$

A characteristic will receive a high threshold value if it does not distinguish the superior performer, but most marginal performers possess it, if trouble is likely if the characteristic is ignored in selection and training, and if at least some members of the population from which OESOs would be selected possess it.

Development of a Criterion Sample

The performance characteristics analysis, in particular, provided a list of independently generated hypotheses about the competencies that are seen to be possessed by outstanding OESOs. Nevertheless, our approach is based on the notion that these hypotheses can only be validated by identifying a group of individuals who are outstanding practitioners, and by discovering what knowledges, skills, abilities or other characteristics do

indeed distinguish them from their less effective counterparts. A critical step in the research process, therefore, was to identify a group of OESOs who perform their job in an exemplary manner, in contrast to a comparison group of OESOs whose performance is below that standard.

This task was complicated considerably because the Army does not uniformly document any obvious indicators of success in organizational interventions. The only data available in this regard were collected by the evaluation directorate of OECS in the form of a questionnaire which asked OESOs to provide self-reports of the effectiveness of a variety of interventions. Unsubstantiated self-reports might lead us to erroneous conclusions about the effectiveness of individual OESOs. Since the behavioral event interview technique provides a built-in safeguard against unsubstantiated attribution, these effectiveness data were gathered instead in the process of the interview.

The task of identifying a criterion sample is further complicated by the fact that OESOs typically operate in teams of two or more, so the success of a given intervention might be related to a different person than the one who reported the success including other OESOs or even the clients themselves. Consequently, the most valid source of data regarding the effectiveness of individual OESOs appeared to be the opinions of their colleagues. A process of peer nominations was accordingly devised as the most appropriate way to gather these data. Research in peer nomination processes has shown this form of criterion data to be highly valid in the absence of an external objective measure of individual effectiveness (Kane & Lawler, 1978; Lewin & Zwany, 1976).

A nomination procedure was therefore devised to determine a group of outstanding OESO performers. The first phase of this process was conducted at Fort Ord during the original meeting at OECS. The 15 members of the resource panel were asked to write on individual sheets of paper the names of those OESOs whom they regarded as exemplary performers, based as far as possible on direct knowledge of these individuals. From the standpoint of the former OESOs and other professionals among the directorates who served on this panel, some names were generally agreed upon. A more finely-honed procedure was carried out at the FORSCOM conference in Atlanta. By the time this conference was held, the names of the 475 incumbent OESOs had been determined. This list of names was prepared along with an instruction sheet and distributed to the over 100 OESOs in attendance at the conference. The instructions on the sheet read as follows:

The attached list contains the names of OESOs (O-3 through O-5 and civilians who have been in the job for six months or longer.

First, read through the list and mark a check (✓) beside the names of those OESOs with whom you have had experience either as a fellow OESO or as a user.

Next, draw a circle around the names of those OESOs on the list whom you judge to be outstanding OE practitioners. Your nominations will be used to select OESOs who will be interviewed about what it takes to do their job.

Though this list reflects our current records, there may be some people listed who are no longer working as OESOs as well as some people who inadvertently have not been included. Ignore the names of those you know are no longer working as OESOs, and feel free to "nominate" others whose names do not appear but who you feel to be outstanding.

It was emphasized in particular that the responses to this request were both voluntary and would be held confidential by McBer.

In all, 92 OESOs chose to respond by providing their nominations of whom they saw to be outstanding performers in their job. For the purpose of the criterion sampling, these nomination data were combined into a four-point scale reflecting the degree to which an individual OESO was considered to be an outstanding performer. The approximate breakdown of the scale was as follows:

- 1 = nominated by less than 25% of those who knew the OESO
- 2 = nominated by between 25% and 50% of those who knew the OESO
- 3 = nominated by between 50% and 65% of those who knew the OESO
- 4 = nominated by over 65% of those who knew the OESO

On the basis of these calculations and those OESOs who are either unknown or known by fewer than 4 percent of their peers, a tentative pool of interviewees was determined as illustrated in Table 2.1. It is clear from these data that only a minority of OESOs were proportionally well known by their peers. This, however, was anticipated given the limited professional interaction of individual OESOs with their colleagues. Those OESOs who tended to be better known by their peers were generally also more visible in their organization, whether through rank

and experience, conference participation, or a wide variety of assignments with fellow OESOs. Nevertheless, as Table 2.1 illustrates, there was no significant correlation between an officer's rank and the number of times they were seen as outstanding performers, given that they were known to the interviewees.

Table 2.1 also presents statistics regarding the breakdown of the selected interview samples. Resource limitations, however, restricted our population of interviewers to those stationed in the continental U.S. Originally it was intended that all those OESOs rated 4 would be interviewed. However, during the interview, a moratorium on data collection was imposed by FORSCOM, and in the interim a significant proportion of outstanding performers by this rating procedure had either been sent to overseas duty or had retired from the Army and were therefore unavailable for interview. It was also desirable to interview OESOs who were not seen to be outstanding by more than 25 percent of their peers to provide the strongest contrast group possible. OESO retirement and reassignment during the moratorium also affected this sample. Consequently, it was determined that 38 OESOs would be interviewed in total, representing both ends of the performance spectrum as well as intermediate indicated levels of performance.

Conducting the Interviews

Each member of the interview sample was contacted by official letter from OECS and by telephone, to tell them about the study and to ask them to participate in a 2-3 hour interview about their experiences as OESOs. Interviews were conducted by a team of ten professionals from McBer and by two OECS staff specially trained in the behavioral event interview technique for this project. All the interviews were conducted where the OESOs were located. The interviewees were first briefed about the nature of the study and informed of their selection as representatives of the OESO population. They were told that the purpose of the interview was to collect examples of their experiences and to focus on the most important situations they had encountered in the past several years. Permission to tape the interview was secured in every case. It was stressed that the interview would be kept confidential by the project team, and no part of the proceedings would be released to others without the expressed permission of the interviewee.

Following the opening segment of the interview, the process of data-gathering began. The data collected on each interviewee included a description of the individual's present job, the duties and responsibilities performed in the present role, and

TABLE 2.1

Summary of Peer Nomination Data

Criterion Group	<u>n</u>	Peer Nominations		Known by Peers	
		\bar{x}	Range	\bar{x}	Range
1	29	.72	0 2	5.83	4 16
2	23	3.13	2 9	8.73	5 21
3	22	5.32	3 10	9.59	5 19
4	33	8.88	4 21	10.82	4 24
Average Interview Sample	17	2.24	0 9	8.65	4 21
Superior Interview Sample	21	8.81	4 21	10.81	6 24

TABLE 2.2

Correlations Between OESO Rank and Peer Nomination Data

	Criterion Group	Known by Peers
Rank of OESO	.13	.26*
Known by Nominators	.39**	

* $p < .05$ ** $p < .01$

an average of six "behavioral events." Interviewers probed for an equal number of "high points" and "low points," with variation of this 50-50 split at the discretion of the interviewees. Interviewers were instructed not to ask leading questions or to draw conclusions for the interviewees, but only to gather the facts of the case. The concluding portions of the interview focused on what characteristics each interviewee thought were important in the role of OESO. In every instance, interviewees were asked to illustrate their observations with specific examples of when they were personally involved.

Most interviews lasted approximately two hours. Interviewers were blind to the criterion data gathered on the interviewees. Following the interview, the interviewers were instructed to write a one-paragraph summary of their overall impressions of the interviewee, including factors of style, self-presentation, key words or phrases repeatedly used, and a general summary of the salient personality characteristics of the individual. These general observations and conclusions were used in further analysis only insofar as they helped explain certain data gathered as part of the formal interview.

Analysis of the Interview Data

Each of the 38 OESO interviews was transcribed verbatim from the tapes, and the transcripts were subjected to an in-depth content analysis to determine the knowledge, skills, traits, motives and other aspects of competence demonstrated by each interviewee in carrying out the OESO role. This analysis proceeded in four phases. The first phase consisted of an in-depth analysis of each interview by paired members of the interviewer team. If either interviewer noted a specific statement in the interview which suggested the operation of an underlying characteristic of the performer, or tentative competency theme, the theme was catalogued on an index card along with the verbatim excerpt from the interview. Each of the 38 interviews was processed this way by the two-person teams, and, where possible, the person who conducted the interview was present along with another individual unfamiliar with it.

The second phase of the analysis process divided the analysis teams into two subgroups, each responsible for analyzing approximately half the OESO interviews. Each subgroup met to perform the following tasks:

- (1) Express their views as to whom they believed to be the outstanding OESO performers, based on the self-reported and documented accomplishments detailed in the individual interviews;

- (2) Generate a list of competency themes that appeared to distinguish outstanding performers from their average counterparts. (The list of characteristics generated by each group is included as Appendix C.)

The third phase involved an intermediate data coding step to determine which of the themes generated by the separate groups did indeed differentiate the superior from the average performers. The first part of this phase was a final determination of membership in the outstanding and average OESO samples. Superior performers on the basis of peer nominations were designated as those who were nominated by over 50 percent of OESOs who knew them (corresponding to a rating of 1 or 2 on the nomination scale). The independently derived conclusions about group membership generated by the analysis teams were in agreement with the nomination data in 28 (74 percent) of the cases, as illustrated in Table 2.3. The remaining OESOs were allocated to the superior or the average OESO groups according to the following decision rule: If the analysis team's assessment was superior (or average) and the individual was known by fewer than seven of his peers, that individual was included in the group determined by the analysis team's recommendation. If, however, the individual was known by more than seven of his peers, the nomination data prevailed in terms of group assignment. At this point, each of the analysis team subgroups was asked to score the verbatim transcript excerpts, which had been placed on the index cards, for the presence or absence of the individual themes catalogued by the respective groups. The purpose of this step was to develop and refine a set of codes, or "rules," for analyzing the complete interviews and to provide a cross-check of the initial assessment of competency themes.

The fourth and final phase consisted of a distillation of those themes which had been concurrently validated in one analysis subgroup that were consistent with those themes that had been concurrently validated in the other analysis subgroup. It is important to note here that the consistency sought was not consistency in labelling of the themes, but rather in those behaviors, thoughts, concerns and outcomes which were the actual bases of scoring. By this process, a list of 34 competency themes was distilled from the 212 individual themes developed by the two separate subgroups. From this combined analysis, a competency codebook consisting of competency labels and associated "behavioral indicators," or alternate ways in which the given competency could be manifested in the interview was developed for each competency theme. This codebook was then used to score the original interview transcripts for the presence or absence of each of the individual competencies. For this final phase, the interview, rather than each behavioral event, was

Summary Criterion Data for the Interview Sample

Peer
Assessment
(Criterion group designation)
Sup. (3-4) Ave. (1-2)

Superior (n=19)	Sup.	14	3
	Ave.	2	0

Peer
Assessment
(Criterion group designation)
Sup. (3-4) Ave. (1-2)

Sup.	0	2
Ave.	3	14

Overall percent agreement = 74%

considered the unit of analysis, so that all individuals in both the superior and average samples received positive indications for each time a competency was cited with behaviorally specific evidence, no indications for those competencies not supported by direct evidence, and negative indications for each situation in which the opposite effect of a given competency was demonstrated.

RESULTS OF THE JOB TASK ANALYSIS

As noted earlier, data were collected from 97 OESOs on their perceptions of the relative importance of the 71 job tasks suggested by the two independent resource panels. Each respondent rated the tasks according to how important they were to outstanding results, whether they were required for routine performance, and whether the tasks were critical to consider in performing the job. These three ratings were then combined into two separate scales; success value, or the degree to which the task was perceived to be important to outstanding performance, as well as essential to the majority of OESO interventions, and routine value, or the degree to which a task was perceived to be required for routine performance as well as essential to the majority of OESO interventions. Distributions of success and routine values were computed, and job tasks were categorized by median splits on the two summary variables.

Table 2.4 presents the results of this analysis. The job tasks are listed in the order in which they appeared in the original survey, which in itself had no particular significance. Within each of the task lists thus categorized, there were several consistent themes which aggregate the tasks. These themes explain some of the key differences in how different job functions are perceived as to their importance to doing the job well and to attending to its routine aspects.

Task Cluster 1: Tasks with High Success Value and High Routine Value

Table 2.4a presents a listing of those tasks which were judged to be both important to outstanding results and required for routine performance. In this cluster, four themes appear to account for nearly all of these items.

(1) Gaining Entry to Client Systems

The tasks aggregated under this theme relate to the performance of duty and exercise of skill in making the first contact with a client organization and gaining acceptance for the performance of the OESO role within the system. The tasks considered part of this function included: selling oneself or one's program to the client; negotiating a contract; and establishing and identifying objectives and outcomes.

TABLE 2.4
OESO Job Task Analysis

	Mean Success	Mean Routine
(a) Tasks rated <u>high</u> success, <u>high</u> routine		
Analyzing data	38	65
Conducting an interview	32	63
Selling self/program to client	40	47
Data feedback	38	59
Managing time	19	32
Conducting training workshops	16	44
Identifying organization problems	52	55
Processing observation of ongoing tasks	23	55
Negotiating a contract	16	54
Establishing outcomes	35	45
Identifying objectives	44	47
Giving feedback to client	42	55
Observing clients: e.g., units and work groups	25	46
Facilitating groups	25	48
Coaching clients	34	43
Synthesizing data	21	47
Team building	16	43
Gaining entry to client organization	29	54
Giving feedback on survey results	10	32
Determining and delivering various organizational interventions	34	50
Initiating and facilitating workshops	26	43
Following up on tasks	15	47
Designing data collection	16	45
(b) Tasks rated <u>high</u> success, <u>low</u> routine		
Evaluating success or failure	24	40
Counseling members of the client system	13	28
Keeping up with own personal growth	33	31
Maintaining military identity	29	40
Building support systems within the organization (to get job done)	12	26
Designing training workshops	12	42
Keeping aware of the political system (knowing where the power is)	42	34
Evaluating impact	11	41
Selling a developmental program to client organization	14	30
Dealing with resistant COs	10	20
Acting as skillful human relations trainer	14	36
Influencing people	36	40
Presenting information in a persuasive and interesting way	43	28
(c) Tasks rated <u>low</u> success, <u>high</u> routine		
Meeting deadlines	10	55
Maintaining a reference library	10	44
Performing additional military duties	19	45
Keeping files	18	44
Constructing an interview	16	50
Giving briefings	16	51
Writing a contract	10	40
Giving briefings to boss	13	45
Traveling to client system	14	43
Responding to inquiries from others about IS	12	47
Administering and analyzing surveys	10	57
Managing groups	10	41
Managing internal resources	10	51

(Table 2.4 Continued)

	<u>Mean Success</u>	<u>Mean Routine</u>
(d) Tasks rated <u>low</u> success, <u>low</u> routine		
Reviewing organizational history	-53	30
Graffiti analysis	-01	08
Provides input to budget	-15	40
Running meetings	-05	38
Writing reports	-02	42
Designing a survey: writing/administering/ computerizing survey items	02	32
Teaching a class	-05	42
Identifying significant events in the organization's history	00	20
Finding sources for a reference library	-11	32
Keeping up with latest OE developments	09	38
Setting priorities of clients	05	25
Trash analysis	-01	06
Getting dollars in budget	-07	32
Setting up a new office	-06	25
Working with others in associated disciplines (e.g., chaplains)	-01	24
Writing proposals	-03	29
Coordinating with other OESOs	-02	39
Managing external resources	-01	31
Analyzing results of questionnaires in terms of modern management theory	07	32
Developing material resources	-08	37
Communicating through reports, speeches and articles	07	39
Attending seminars/conferences	-01	27

(2) Managing an Interactive Process

This theme includes managing groups and working with others to elicit information from them. The tasks under this heading include: conducting interviews; giving survey and other data feedback; managing time; observing clients in their units and workgroups, facilitating groups; determining and delivering various organizational interventions; initiating, conducting, and facilitating workshops; and following up on tasks. Interaction is the key word or concept that unites these various job tasks.

(3) Analysis and Diagnosis

This theme includes tasks which require, in particular, the exercise of intellectual skills in information reduction and problem solving. The tasks included under this heading are: analyzing data; identifying organization problems; processing observations of ongoing tasks; synthesizing data; and designing data collection.

(4) Client Development re: Process

The tasks listed in this theme center around working with others in the client organization to enhance their capability during or following an OE intervention. The tasks included in this category are coaching clients and team-building.

In sum, the job tasks that were seen to be important both to outstanding and routine job performance all emphasize working with others in the client system through problem focus and diagnostic skill. The four themes, in fact, might be thought of as incorporating a process that begins with client entry and ends with enhancing the client's capability to carry on in the absence of the OESO. These tasks, then, appear to be the essence of identifying and resolving problems and transferring ownership of the process to the client.

Task Cluster 2: Tasks with High Success Value and Low Routine Value

The tasks in this cluster, listed in Table 2.4b, were perceived to be important for successful outcomes, yet were seldom seen as part of routine practice. These tasks, then, might be thought of as those which are only occasionally required or demonstrated, yet which are as important to effectiveness as

those that are more routine in nature. Among these tasks, in fact, are found three very different themes from those identified in Task Cluster 1.

(1) Influence and Credibility

The tasks included in this theme all have to do with making an impact on the client organization in a way that furthers the OE mission, which is directly attributable to skillful use of personal influence. The job tasks that are listed under this category include: maintaining military identity; building support systems within the organization to get the job done; being aware of the political system and knowing where the power is; selling a developmental or new program to the client organization; dealing with resistant commanding officers; and presenting information in a persuasive and interesting way.

(2) Evaluation

The tasks included in this theme all have to do with outcomes and results of OE interventions. The tasks in this category include evaluating success or failure and evaluating the impact of an OE intervention.

(3) Maintaining Professional Role

The tasks identified by this theme are indicative of those activities in which an OESO acts as a professional human resources consultant (as distinguished from a technical expert, which is a different aspect of the OESO's role). The tasks under this heading include: counseling members of the client system; keeping up with one's own personal growth; and acting as a skillful human relations trainer.

The job tasks that were seen make important contributions to effectiveness, but which were also not routine in nature, are results-focused rather than process-focused. Maintaining influence and credibility in the client system and evaluating the results of OE interventions enhance the OE consulting process by ensuring that something happens to make a difference once the problem has been diagnosed. Maintaining a professional consultant role is a more ancillary function which nevertheless establishes the OESO's expertise in engaging in problem-focused work.

Task Cluster 3:
Tasks with Low Success Value
and High Routine Value

The tasks in this cluster, listed in Table 2.4c, are those required for the routine performance of the OESO's job, but were not seen by themselves as necessary for outstanding results. In this cluster, two main themes were evident that accounted for the job tasks listed here.

(1) System and Process Maintenance

The tasks accounted for by this theme all deal with fulfilling minimal client expectations and covering basic support functions, and reflect neither the OE consulting process nor specific results. The job tasks in this category include: meeting deadlines; maintaining reference libraries; keeping files; travelling to client systems; and managing internal resources.

(2) Information Gathering and Transmittal

In this category are those tasks which have to do with communicating basic information back and forth between the consultant and the client. The tasks in this group include: constructing an interview; giving briefings; writing a contract; responding to inquiries from others about OE; and administering and analyzing surveys.

The tasks listed as being important for routine performance but not responsible for effectiveness of OE interventions correspond to the minimum requirements of the OESO job description. On their face, these are tasks that every OESO must perform to live up to even the most minimal of client expectations, but by themselves they do not enhance the success of OE activities as do those covered under Task Clusters 1 and 2.

Task Cluster 4:
Tasks with Low Success Value
and Low Routine Value

In this last cluster are those tasks, listed in Table 2.4d, which were perceived to be neither important to outstanding results nor required for routine performance. As might be expected, a number of the tasks in this cluster have little consistency and might be classified as "miscellaneous." But

of the remainder, there were four themes of consistency which were distinguished from those themes already elaborated upon under other task clusters.

(1) Keeping Up with the State of the Art

Perhaps surprisingly, being abreast of the latest developments in OE and participating in those developments was apparently considered less important than dealing with the more conventional technology of client-focused problem solving in organizations that are not themselves state-of-the-art. The tasks united by this theme include: designing a survey; keeping up with the latest OE developments; analyzing results from questionnaires in terms of modern management theory; communicating through reports, speeches, and articles (presumably the findings of the latest research); and attending seminars and conferences.

(2) Research and Documentation

Historical and sociological research into the life of an organization and documenting the results of research that does not specifically bear on an ongoing activity are included in this category. The job tasks accounted for by this theme include: reviewing organizational history; graffiti and trash analysis; writing reports; identifying significant events in the organization's history; and finding sources for a reference library.

(3) Obtaining and Managing External Resources

This theme accounts for activities relating to bringing in and managing funds and other resources which presumably help a client organization to fulfill its mission. The inference here is that these tasks denote responsibilities of the client rather than those of the OESO. The tasks under this heading include: providing input to budgets; setting priorities of clients; getting dollars in budget; writing proposals; managing external resources; and developing material resources.

(4) Collateral Duties

This theme includes those tasks which an OESO might be asked to do upon occasion, but which are not part of the OESO's job description, nor specifically related to an intervention. Under this heading the tasks included are: running meetings; performing additional military duties; teaching a class; setting up a new office; and working with others in associated disciplines (e.g., chaplains).

The lower value placed on the tasks under this cluster by the OESOs who responded to the survey suggest that the role of the internal consultant in the Army is not one of advancing the state of the art or one which includes a potpourri of tasks as assigned, but rather one whose integrity is based on practical problem solving in real-world organizations. It also reinforces the professional image of the OESO as one who is very much a part of the organization for which he or she consults rather than being a more academically-oriented external consultant. This perception of the OESO's role, thus, reaffirms the OESO's soldier/expert status and strongly suggests that the continuing credibility of the OESO within the Army system depends on the successful management of these role relationships.

RESULTS OF THE COMPETENCY ANALYSIS

Competency Model of the OESO

This section of the results presents the major findings from the 38 behavioral event interviews conducted with the cross-section of Organization Effectiveness Staff Officers. The discussion contains a section on each of the nine competency clusters which describe the underlying performance characteristics of these officers. Each competency is described in general terms, with anecdotal illustrations and examples of interviewees' comments that illustrate various aspects of the competencies.

Competency Cluster 1: Functional Knowledge

The OESO's role in the Army is such that he frequently must deal with organizations that are both new to him and have serious functional problems. Two areas of functional knowledge were identified that the OESO needs to enter a new organization successfully and carry out interventions that will help people in that organization deal with their problems. He must have at least a basic knowledge of organization development theories and models in order to offer a new conceptual framework for the problems he has found in an organization. To facilitate entry into and impact on an organization, the OESO also needs a knowledge of both the formal and informal structure of the Army in general and of the particular client system in which he is working. Though all OESOs have this knowledge to some degree, the superior OESOs identified these two sets of information as particularly important, and are always seeking both new OE theory and skills as well as constantly collecting information on the structure of organizations and who the key players are.

(a) Knowledge of Organization Effectiveness Theory

Most individuals interviewed showed some evidence of this type of knowledge. That is, they could articulate the "four-step" model and force field analysis taught at the OECS:

"I did a force field analysis after presenting him with the data. I used that type of thought process to get into the strengths and weaknesses of the organization."

Individuals who were outstanding OESOs demonstrated both a deeper knowledge of these techniques (by explaining them in detail) and an intense interest in learning about new theories and techniques and applying them to OE interventions, as the following example illustrates:

"I'm reading a guy named Stafford Beir, he's come out of the area of cybernetics and operations research. I used his stuff in this seminar and it's really the state of the art."

The superior OESO has a continuing desire to learn more about his area of expertise and uses this knowledge on the job. One top OESO had just been through some training on group process and used it on his next client:

"So I just literally ran the meeting, using the IA technology. It calls for three roles in a meeting. One is the chairperson, one's the facilitator, and one's a reporter. What the IA technique does is splits out those two roles. The facilitator doesn't have any power, but what the manager says is you run the process of the meeting for me, then I can sit back and get involved in the content. The facilitator protects other people's points of view."

While many OESOs had knowledge of rudimentary OE techniques, the superior OESOs showed a knowledge of OE theory and advances that was equal or superior to many outside consultants.

(b) Knowledge of the Client System as an Organization

A person demonstrating this type of knowledge goes well beyond conceptualizing the structure of organizations in the Army as a simple vertical hierarchy, beyond getting his knowledge from organizational charts. A top-level OESO goes out and actively collects information about the structure of potential client systems:

"My organization is really an information support network so that you have key people who are at information check points: people whom information comes through routinely, who very quickly in a casual conversation can tell you what the hot issues in their sections are, and who provide some detailed information. They can also tell you where that information's been, if it has been to the boss, the deputy chief, or staff head."

Getting this type of information is not so difficult. Learning to value it and to have the theoretical concepts to make use of it are crucial for an OESO of lower rank to work with superior officers. When one doesn't have this type of knowledge and/or the insight to try and gain it, one runs into problems illustrated by this OESO's experience:

So there was a real power struggle going on there that I waded into with both eyes clearly closed. I was in the middle of a firefight and I didn't know it. Well, when that thing was over I felt frustration, anger, embarrassment and disappointment."

Doing reconnaissance of the structure of an organization not only helps one avoid the land mines. It also helps the top OESOs gain quicker and easier acceptance in most organizations with which they work.

Competency Cluster 2: Strong Self-Concept

It is not surprising that people's feelings about themselves are directly related to performance effectiveness on the job. This is especially true of people working in programs that do not conform with the general mores of the parent organization, of people who are designated as change agents. The job of an OESO cannot be successfully carried out by faint-hearted people who lack the courage of their convictions. The top OESO trusts himself, his training and his abilities so that he can take action, hear others' points of view, and put aside his own immediate agenda if that will help get the job done more effectively.

(a) Self-Confidence

Successful OESOs are confident of their own ability to succeed. They see themselves as competent individuals who are as good or better than other OESO or civilian OD consultants. They view their work with pride.

"I think I did a good job at capturing some of the serious concerns and good ideas that some of the top people had been expressing in the field."

They see themselves as having knowledge that gives them power and an obligation to be the origin of change, innovation and improved efficiency.

The self-confidence of one OESO allowed him to take direct action on a sticky administrative issue:

"I made the decision, that I was willing to attempt to shoot that problem right in the head with a staff paper."

Feeling secure in their knowledge and in themselves gives the top-flight OESOs the ability to interact with superiors as equals. This does not mean that top OESOs lack respect for their superiors; rather, they don't let rank stand between them and getting the job done. The superior OESOs simply and directly tell their superiors how they feel about an issue:

"I very simply told the general that if anyone was going to write a concept paper, it was going to be me. He said, 'Sounds fine to me.'"

This ability of talking on an equal level does not always take on the tone of a confrontation, but instead one of two people, each with a legitimate point of view, each with a different set of skills, talking freely in an attempt to find the best solution to a problem. For example:

"He's a brigade commander and I called him up and said, 'Have you got any problems with re-enlistment?' And he said, 'Boy, have I got problems.' I said, 'Boy, have I got something for you that will help out.'"

OESOs in the control group tended to be non-assertive of their point of view, even when they were sure they were right. They folded up their tents and left at the first signs of trouble. In short, they demonstrated a lack of faith in themselves.

(b) Low Fear of Rejection

In simple language, not being afraid of rejection means that if someone gets angry with or dislikes an individual, that individual does not feel badly about it. This competency is psychologically related to a low concern for needing to be liked by others, unlike those individuals who depend on their approval by others in order to function. Successful OESOs are less concerned with being liked than with being effective. This competency underlies the ability to confront conflict between oneself and a peer or superior. For example, one OESO felt he was not getting the true information as to what was bothering a superior officer and confronted him with it:

"He proceeded to go through a series of things that he felt were bothering him, and as I looked at him I burst out laughing at one of the cases and said, 'General, that just sounds like garbage.'"

OESOs who did not possess this competency ended up following their client down dead ends rather than turning the client around. OESOs demonstrated their low fear of rejection by laying down the ground rules for either their behavior or the client's behavior on a take-it-or-leave-it basis. The better OESOs would not touch an intervention if they could see it was going nowhere or if they were missing a key ingredient.

The superior OESOs had the attitude of "I know what I need to do the job, and if you can't give it to me, so long." One OESO turned around a bad intervention by saying:

"We've got to make a decision on who's going to be the consultant, you or me, but not both of us. I can't work based on what you're telling me. I have to get my information first-hand."

OESOs with low fear of rejection as a competency do not personalize negative judgments by others, but see themselves instead as having done the best they could and understanding that it's all right for others not to like them for it.

(c) Exercises Restraint

Part of having a strong self-concept is that you feel strong in who you are and what you are doing. You don't lash out in anger or because of frustration; you keep your eye on the ball. The good OESO realizes that, in his position, losing control will damage his relationship with his peers and/or clients. An OESO who lost his temper points this out:

"So I just finally blew up. I got very angry and said, 'There is no teamwork here, we're not doing anything at all. Everybody is going their own way.' I mean it was just pitiful. It just amazed the people because I generally don't blow up and things between us have never been the same."

The ability to exercise restraint manifests itself in the top OESOs' being able to say "no" to a piece of work even when they're not too busy because they can see it's not going to

turn out right; they would rather find a situation where their talents and skills might make a difference. The following excerpt shows that this decision is not made in haste:

"So, by the time he and I had talked for five hours, it was clear to me and clear to him that he did not want an OESO and so we parted. I did not take the work just because I wanted work, and I had ample time to schedule him in. But his needs could not be filled by what I had to offer and I didn't buy into a contract that could not be realized."

When OESOs did not have self-control or use restraint, they were likely to pay for their haste in a poor intervention:

"I didn't have a contract. I was so anxious to get in there, and there were a lot of details between the CG and me that hadn't been agreed upon. These details sort of fell between the cracks."

OESOs who showed restraint did so not because they didn't have strong beliefs or feelings but because getting the job done and thinking about the OESO image in the Army came before the momentary good feeling you get when you explode at somebody.

(d) Perceptual Objectivity

Perceptual objectivity is defined as the ability to stand outside a situation and dispassionately see both sides of the issue, to not only see your goals and mission but to recognize the client's point of view as legitimate. This ability comes through in the attitude the OESO has toward his client and the way he thinks about his interaction:

"I have to check myself and say, 'Wait a minute, he sees a different pattern than I do, and he practices OE as he sees it.'"

This aspect of strong self-concept can be seen as the cognitive component of exercising restraint. The OESO who has perceptual objectivity is not so caught up in his own ideas of what he views the answers to be that he can't hear and utilize the information provided by his client; does not let his own needs get in the way of obtaining all the different points of view that may be useful if they are to be of help in alleviating a problem.

OESOs with perceptual objectivity also tend to have an accurate self-image which includes a knowledge of their strengths and weaknesses. Armed with this knowledge, good OESOs undertake to improve areas they have identified as weak. A clear example of this is:

"I came down there and it was the first time that I had worked with an all-female organization and it was very difficult at first because at first I was looking around and I was distracted by all the women there and not thinking about what I was really supposed to be doing down there. It was an education in how to work with women."

(e) Accepts Responsibility for Failure

A person with this competency is able to examine and assess his role in a failure. People with this competency do not scapegoat others or blame circumstances for their failures. Rather, they ask "What could I have done differently?" or "What good, if any, came out of this?"

Most of the superior OESOs in this sample talked freely about mistakes they had made. For example:

"I had done nothing whatsoever at the onset to gain any commitment from the client to go through the four-step process. Or to take some action as a result of doing the assessment. The failure was totally my fault, you know I'll accept all the blame for that."

Less confident OESOs ascribe their failures to luck or chance; the outstanding OESOs make no such attribution.

Competency Cluster 3: Professional Self-Image

Many OESOs tend to operate in much the same way as medical doctors or lawyers work. They view themselves as professionals: They identify with their job; they do not see their job as going from 9 to 5, but see their OESO role as a significant part of their identity. They identify themselves as experts, with a realistic sense of what they can and cannot do. They have no fear of calling on a colleague for help when they need it. Part of their professional image is seeing themselves with a responsibility for training others in OE. Some of the OESOs interviewed have an almost missionary fervor.

(a) Sees Self as Substantive Expert

Many superior OESOs not only see themselves as experts, but are also regarded as experts by others. This is generally demonstrated by publishing or otherwise disseminating OE technology that they have devised and tested:

"I worked out a package on re-enlistment and what I've done with it is send a copy to the Department of the Army and let them disseminate it to people who are interested in the kinds of things OE does."

The top OESOs view themselves as resources for those less experienced in the field. They see themselves as being able to clarify the role of OESO for others or being able to help as a "shadow consultant" for people just starting in OE. They show an almost paternal feeling for the newer OESO in the field. Coupled with this is a knowledge of where they have made errors and how to avoid them. They try to convey this knowledge to others in the field:

"I'm acting as a kind of floating consultant, if any of you have problems at any point, take a break, grab me and ask me to come down to your group."

The superior OESO also makes substantive recommendations to his clients. He does not limit his input to a narrow definition of OE areas; if he has something to offer from general experience, he does so. Few people in the control group do this and thus present themselves to clients as OESOs who know little about the "real world" and hence are seen as somewhat two-dimensional. This ability to make substantive general suggestions gives the superior OESO credibility in the eyes of his client.

(b) Understands and Works to Overcome the Limits of Own Expertise

Because effective OESOs view themselves as professionals they can realistically assess their strengths and weaknesses. Where they see a weakness they get help from other qualified professionals before it adversely affects their performance. One OESO did this around the problem of summarizing data he had collected:

"I had all my data collected, it was up to the walls and I was thrashing around saying, okay, this is clear, that clear, and throwing away stuff that I felt was useless and boiling

it down. In cases where I wasn't sure, I'd call in another guy whom I trusted and respected, he'd look at it too, he was another OESO."

OESOs who are professionals can ask for help without a loss of face. On the job this results in their having access to many more resources than an OESO who feels any help he gets is a sign of personal incompetence.

The professional OESO also recognizes the limits of his role in implementing change. He can suggest a change, but for a smooth implementation of the change he recognizes the need for help within the system. He has taken to heart the OE rule that the client has to own the organizational change. When confronted with the issue of implementing change, the OESO who is a professional makes allies to get the job done:

"No matter how much you know or how much you've been trained, when you try and go into an organization and change it, it grinds on people. This happened to me when I tried to change that group so I said, 'John, you can offset that. Provide us with opportunities to make comments...changes in the way the group is operating and you can help us do this in a more legitimate, more acceptable way.'"

Top OESOs don't need to feel like they cleared up Dodge City single-handed. They just want to get the job done right.

(c) Develops Others

This facet of professionalism is clearly observable in top people from many different professions. Top physicians work in teaching hospitals, and top lawyers have clerks they train. These individuals have as part of their professional identity the role of mentor. Effective OESOs, regardless of their age, also tend to show the same characteristic. They know well they cannot do all the work they feel needs to be done, and they see no point in having someone else make all the mistakes they've already made, so they seek to develop OE skills in both OESOs junior to them and in clients who could utilize OE technology in a particular situation:

"When we sat out there I sat down and coached the Chief. Since I knew he was the focus, I gave him some pointers on what he should say so that he wouldn't close the discussion down."

The OESO who has this competency recognizes that nothing sells OE to a client as well as having the client be an active participant in a good piece of OE work.

Competency Cluster 4: Develops Common Understanding

Developing common understanding was particularly pronounced in the way successful OESOs were driven to clarify what it would take from themselves and their clients for the task at hand to have a good chance of being accomplished. In order to get this clarity the good OESO was extremely persistent in asking questions of his potential clients until he got the details he needed to make an informed decision as to whether and what kind of an intervention was called for.

A desire for a common understanding for the superior OESO means not only that the client is clear as to what the OESO will be doing; it means the OESO recognizes that unless he values the client's input enough to listen actively and incorporate it into his design; he stands less chance of reaching his goal of making the intervention work. He respects his client's insights and uses them.

A desire for a common understanding causes the first-rate OESOs to include the client as a partner in both the design and leadership of an intervention. This genuine concern for the client's input leads him to develop professional rapport with the client so that he can get to the core of a problem or issue. Developing a common understanding for the competent OESO is not some "touchy-feely" exercise, but is reflective of a desire to be clear in his relationship with his client and to find out precisely what job his client wants and needs to be done.

(a) Concern for Clarity

Individuals with this competency are always asking questions designed at getting a clearer view of what the real issues of an intervention are. They are constantly trying to get past the description of the symptoms and get to the cause of the disease. They understand that they can have the best plan in the world but if that plan does not reflect the client's concern, it will never get implemented.

A focus of attention for several of the top OESOs was the need to put their perception of what they heard the client saying onto paper. Once this had been done and the clients had read the contract, they felt more secure in investing their time and effort in an intervention. Sometimes they would combine writing up a contract with probing for more information as ways of gaining a common understanding:

"I was working on setting up this transition, so I would come into the office and I'd sit down and write a portion of it, what I thought needed to be done; and if I had any immediate questions I would call people on the phone and say, 'Is this accurate?' and 'Did I hear you correctly?' and finally we had the transition meeting."

OESOs who lacked this concern often found themselves working on an intervention that might have been terrific but was not the one the client wanted.

This desire for clarity goes beyond the planning or contracting stage. It is also evident as an ongoing concern for the better OESOs. A case in point is:

"I was constantly trying to get clear with the colonel what role he should be playing. Should he take a fairly directive role, a very strong leadership role like he would if it were a military service coming together, or should he take a more low-key role? We settled on his taking a lead role in kicking it off and then becoming a small group member rather than his spending a great deal of time trying to influence the group."

(b) Values Client Input

An OESO with this competency has a genuine interest in what clients want as well as what (in his professional judgment) the clients need. He actively seeks the clients' input in designing and in carrying out their joint plans. The good OESO recognizes what he can offer and what the client can offer:

"I said 'OK, what are the next steps? You know what can we do about these things.' I decided that the best thing to do would be to bring in the critical folks and give them the feedback and then let them help us design an implementation activity. You know, let's get those guys that need to be involved and let's let them help us decide the actual activity itself. Where we'll provide the format for that and they'll provide the input. And so what they did is really help us design the workshop itself which was and the battalion commander had the no go, he was in full control of that process. So you know it wasn't

like I was coming in and doing it to him; he was the guy that was sort of helping us to lead through that. And we coached him into that job."

These OESOs recognize the dynamics of using the client's input and investment to overcome the inertia of almost all client systems. Even when successful OESOs identify an action that they want to take, they will often check it out with the client to see if there will be any adverse reaction. They do not view this response as giving up their power but as a scouting mission to see if they are on track.

(c) Establishes Professional Rapport

The most effective OESOs are the ones who can easily establish rapport with their clients, and by doing so they are able to surface sensitive issues that they need to know about to help them accurately assess the state of an organization. Professional rapport is focused on the relevant issues of the organization under study. The OESO does not waste time talking about how the client feels about his wife or golf game; he is concerned about developing a relationship around OE issues and nothing else. In order to do this he generally must have some of the competencies already mentioned, such as a strong self image and knowledge of both OE theory and the client's organization. Armed with these competencies, it is relatively easy for an individual with good social skills to establish and maintain professional rapport. The results of establishing this rapport are obvious:

"People knew why I was there, I was accepted, in fact there was a lot more changed behavior because people were coming to me and saying, 'Hey, this is what's going on, what do you think about this?'"

A good OESO will have strong doubts about doing work with a client unless he can establish some degree of professional rapport:

"He (the client) was a very confused man. I never met anyone who was so bad. He couldn't sort out problems, he had no problem solving techniques, it seemed, he was a rambler. A lot of it was he was trying to avoid the issue and was doing that with other people, too, and I came close to giving up on the guy just in an interview."

(d) Surfaces and Discusses Key Concerns

In the preceding section we noted that the effective OESO establishes professional rapport with his client. In the event that this is not possible because of the client, situation or the OESO skill level, an alternate competency is the surfacing of what the OESO, in his judgment, has identified as the key issues and concerns of the client. The reason we label this an alternative position is that there is a good possibility that while the issues the OESO raises will be close to the target, there is also a real possibility that he will either miss key issues or focus on the "wrong" ones from the client's point of view. Sometimes it falls on the OESO to raise sticky issues that no one wants to touch for the sake of clarity and common understanding. One case that illustrates this is the following:

"I was doing a transition for Jones who was moving in to become the engineer of the military district, a really key job. And that guy that he was replacing was being relieved and he wanted us to do a part of that. Very, very touchy kind of situation. He wanted to maintain the dignity of the officer that was being relieved, but also he wanted to get the data from this guy, because his thing was if I don't tap that guy, I could be relieved. And the guy who was being relieved was an outstanding officer and worked like crazy and got killed anyway. So Jones was really concerned about the learning from that process, maintaining the guy's dignity, and also at the same time transitioning himself into the job. And it was up to me to get past Jones' concern for the other guy's dignity and say, 'Hey, you got to look out for yourself.'"

At other times the top OESO needs to set issues straight, as in this case:

"Some of that is going to be even changing your own style around some things. And there are some things that you may have to do differently. And if you're willing to buy into that, then we can do the transition. If not, we may have some problems with this."

Part of raising and discussing concerns is re-contracting; that is, the superior OESO feels no compunction about pointing

out where the client is deviating from the agreed-upon contract and saying, "Are we going to stick to what we both agreed upon or not?" One OESO did this particularly well:

"I just made a process observation that those comments really weren't speaking to the agreed-upon outcome and that we had a chance to get back on track or continue talking about that, and I confronted him with that several times."

For OESOs who did not have this ability to re-contract with the client, they found themselves being led by the nose by a strong-willed client rather than making the client stick to the plan they had both contracted for. This competence does not indicate that a superior OESO is intractable about changing a plan; it does suggest that he does not change his plan without having a good reason for doing so.

Competency Cluster 5: Personal Influence

The ability to influence others is very important to OESOs. This competency is rooted in the balance between wanting to have a personal impact on the client's organization and thus on the Army, and wanting to use subtler influence skills to get done what you feel needs doing at any price. OESOs have been charged with certain responsibilities, and to assure their successful execution they must have a concern for impact, develop influence strategies, and understand the type of impact they have in their position.

(a) Concern for Impact

Individuals with this competency are sensitive to opportunities for having high personal impact. They get pleasure from knowing they have in some way changed the manner in which an organization operates. They understand that in order to get things done you need to have impact on the people you're working for. And they are willing to sacrifice to do this, as evidenced by this excerpt:

"And he said, 'Well, I'm going to be here Saturday,' and I thought, 'I don't want to work on Saturday,' but I thought on the other hand that if I come in on Saturday that's going to show him my dedication to this project. So I spent six hours giving this guy feedback."

Another way that individuals who possess this competency display concern for impact is by making unsolicited offers of help. This is one of the most socially acceptable ways to make an impact and is closely related to an individual's motivational need for power and influence. This type of impact was felt in the following situation:

"I told them, 'You're not going to find any NCOs from somewhere else. You've got to identify them.' I said, 'I'll tell you how you do it right now.'"

In its less restrained manifestation, this competency can take the form of an overt desire to control the behavior of others; this was rarer in the top OESOs than among members of the control group. Generally this type of concern for impact leads to resistance on the part of the person or group toward which it is directed, and it was not uncommon for people in the control group to talk about being closed out of an organization because of an unbridled desire to control others.

(b) Use of Unilateral Power

The use of unilateral power is one-way influence between an OESO and the people under his command. This may be contrasted with socialized power, where there is some concern for sharing ownership, being politically sensitive or trying to get things done by persuasion. The use of unilateral power is directed downward in an organization, the end being to manage subordinates and to perform tasks. The use of unilateral power is evidenced by the use of one's rank to legitimize action. The OESOs who use authority see themselves as a source of power, as a person who makes decisions, sets goals, and develops plans. They feel responsible for keeping things on track.

I said, 'Look, we've got a limited amount of time, we can spend half of that time deciding what we're going to talk about or we can say that this is going to be useful and go on from there,' and they said, 'Yeah, that's a good idea, let's do it.'"

By contrast, people who are uncomfortable with using unilateral power will tend to avoid confrontation or other

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situations where conflict is a potential problem. They often encounter difficulty in situations that can't run themselves or be handled by others, but which require that they take charge and issue a directive or make a unilateral decision.

(c) Creates Positive Image

The individual who shows his concern for impact by creating a positive image does so in a number of ways. The first and most pervasive is that he is simply aware of the need to create a positive image. He documents and publicizes his successes and uses them as keys to gain access to organizations and to get his points across. One of the more effective uses of this strategy is illustrated by the following:

"I placed a big article in the newspaper and it caught the division commander's attention that, you know, the NCOs run such and such a battalion for a day and the NCOs liked it because they got responsibility and it got very positive publicity. So they came back and said what else can I look at. You know, what are some of the other targets?"

Another important way an effective OESO creates a positive image is by taking direct action that causes others to see that he is concerned with how they feel about his being there, realizing that having some stranger come into your organization and look over your shoulder can be somewhat disturbing. An example of this is:

"I personally made a point to talk to the G-3 of operations who was the client, and told him that I wanted to talk to all his key players at a meeting and then I personally went around to as many people as I could find and spent 10-15 minutes talking with them, telling them who I was and what we were all about. And though we had some minor problems with people during this intervention I had no major trouble with people whatsoever."

OESOs who don't concern themselves with creating a positive image are forced to suffer under the image of trying to sell "bullshit social psychology," and no one in the Army wants any of that.

(d) Uses Interpersonal Influence Strategies

A person with this competency is already intuitively or consciously aware of people's attitudes and motives and understands how to appeal to them. The objective of influence strategy is to persuade individuals to behave in certain ways, or to manipulate the environment or circumstances so that others behave in a desired fashion. Strategies may range from elaborate to simplistic. They can be as simple as wearing the "right" kind of uniform (one OESO wore a white lab coat when he worked with hospital personnel and a regular uniform when he dealt with other branches of the service). They can also be as complex as designing a seminar for the secretaries of commanding officers so that you could later gain access to their bosses.

The truly superlative OESOs used their interpersonal influence strategies sparingly and with great care to avoid the label of manipulator. Their espoused view was that you could only influence people if they were unaware that that is what you were trying to do.

The good OESOs would pick their shots and would hit their targets without fail. For some OESOs this meant massaging the egos of some of the people they worked with:

"Then I said, 'I'd like you to do something that you don't normally do...you guys are really good planners, you're really great technicians and super experts. But I'd like you to try something a little different. I'd like you to tell us what the perfect shop would look like.' And they described it."

Good OESOs plan out their influence strategies well in advance of a particular situation. They have a clear picture in their mind of what they want to happen and some of them even roleplay this interaction with other OESOs.

(e) Understands Own Impact on Others

This aspect of concern for impact is indicative of an acute sensitivity to how one's actions, attitudes and behaviors are received by others. Knowing how his behaviors will affect others allows the superior OESO to either enhance that impact or soften it. Often when conducting a painful data feedback session the top OESOs will not engage in a "data dump" at the client's expense, but will either try to soften the blow to the client's ego or bring someone along with them to act in the role of commiserator. They do not do this out of some abstract concern for the client's feelings, but because they recognize

that if a client is shot out of the saddle by the data he receives, chances are he'll sit on it and never make any changes for the betterment of the organization; whereas, if the client has the opportunity to see negative feedback in a reasonable light, the good OESO recognizes his client may respond to the information with some positive changes. One OESO did this by giving feedback to a client in front of his peers:

"So I got other people to describe what they were hearing and so he was hearing it from somebody else and they solicited comments or perceptions from other commanders about how they saw him. So he had an opportunity to hear data from his peers, which was pretty harsh but that was somewhat softened and mellowed by people."

One OESO put very well what understanding your impact meant:

"In a way it is still kind of incredible to me how powerful some of the consultant training can be, and that it is in itself never good or bad, but very much like nuclear energy, it depends on how you use it and it requires a certain level of maturity."

(f) Oral and Written Presentation Skills

OESOs are often involved in making formal briefings to commanding officers and are frequently called on to run large groups in either conflict resolution, transition or feedback sessions. Speaking in a crisp, articulate manner is a prerequisite for this kind of representational skill. During the interview process it was relatively easy to pick out the OESOs who had excellent verbal presentation, as well as those who had the ability to communicate ideas clearly.

Another clear sign of this ability was the investment of energy in the types of visual aides OESOs use to assist them in their presentations. They universally use butcher paper, but the superior OSEOs spent considerable amounts of time and effort in using the butcher paper as something other than a laundry list display. They used multiple colors to point out different sets of issues; they drew flow charts and path diagrams to drive home their points about the dynamics of organizations. Some of those with more resources also used slides and computer simulations to make their points.

One OESO talked about how this realization dawned on him:

"I used to agonize over the format that I would use to present all of my data. When I went to school it was put stuff on butcher paper and stick it up on the wall. Well, I learned very painfully that that doesn't work, so I now boil the stuff down and find a sharp way of presenting it."

Competency Cluster 6: Diagnostic Skills

The diagnostic skills of the OESOs were very well developed in a number of areas. Superior OESOs show a strong understanding that they have to have more than one source of data. They also show the ability to organize the data they have collected into a meaningful picture that can be used as the basis of an intervention. The superior OESOs are also capable of doing this in an on-line situation where from a relatively brief interaction they can draw a useful generalization about the people or situation they are dealing with. They use metaphors to help them communicate material when they want to make a point and as a result of this they can say the same thing a number of ways until their client is able to grasp exactly what it is they are trying to get across. These diagnostic skills are central to being seen as a superior OESO.

(a) Obtains Multiple Perspectives on Situations/Problems

A person with this competency is able to see and pursue multiple perspectives on issues. He realizes that even though he was hired by one member of the organization he has an obligation to involve others in a thorough assessment of the organization's problems. A superior OESO describes one such assessment:

"What I did was a vertical slice feedback, really an assessment activity that assesses the different levels in the organization, the privates and sergeants and company commanders and platoon leaders and battalion commanders and finally the brigade commanders and their staff and the division commander."

This type of data collection is not carried out by the control group OESOs because they do not realize that if they were limited to only one source of information about the problems of an organization they might get "sand-bagged" somewhere in the OE process.

Superior OESOs are also noteworthy in their use of another technique to get multiple perspectives on a situation or problem. They often maintain support groups of other OESOs and solicit input from them on particularly difficult missions. One example of this was related as follows:

"I talked to everybody in the OE business that had ever done a division activity and got blown out of the saddle, and from this information I sort of sketched out a way to approach this operation."

The completeness of these two examples is reflected in the assessment practices of a large number of the OESOs who were judged as superior, and this type of preparation for an intervention is as close to insurance as an OESO is likely to get.

(b) Diagnostic Use of Concepts

Individuals with this competency are constantly thinking of how small events cluster into larger ones. When in the process of figuring out the root causes for a problem, they use this ability to hold all the pieces of the particular puzzle they are working on in their mind. They are able to juggle a few diagnostic concepts much more effectively than many little unrelated facts. This competency is of course reflected in the competency of functional knowledge, but under this heading the knowledge is not static but dynamic. Top OESOs, when demonstrating this ability, are not reciting a list of names or set of facts; they are demonstrating exactly how one can use a concise conceptualization of information to understand a situation. A clear example of this is:

"There were a couple of people, two out of the group, who, even after spending a day with that data, were unwilling to own their own behavior and their own responsibility for anything being different than it was right now or that it always had been. And in that sized organization that was enough to block and effective work."

The excellent OESOs can get a clearer understanding of their job because they have the ability to be convergent in their thinking: they take a variety of facts which on the surface are unrelated and find the common thread in them.

(c) Uses Metaphors and Analogies

People with this competency are effective in explaining things to people, in getting their point across. They are able

to enter another's frame of reference and choose metaphors and analogies that are meaningful to the person, metaphors that enable others to understand one situation by seeing it as similar or analogous to another, more readily comprehensible one. People who lack this ability have a problem shifting gears when someone doesn't understand an explanation, rather than selecting a meaningful metaphor and showing its relationship to the point being made.

The interviews with superior OESOs were laced with anecdotal accounts of metaphors and analogies used to demonstrate points to clients or groups. This competency is apparent, for example, in the way one OESO describes his view of the feelings of a new OESO:

"He had some apprehensions about what he was doing when it came time to get into the water drill, he really wasn't sure whether the swimming lessons were going to fully equip him to do the cross-channel marathon."

OESOs made frequent use of metaphors and analogies to make feelings clear and to explain the feelings of others:

"I feel that I'm an ice cutter in Alaska, you know, plowing through the four-foot thick ice and there are no supplies at the base when we get up there. Here I have been banging through the ice, trying to rescue some people and wherever it is and there ain't nobody in Anchorage when I get there. This was a lot of work for no cookies."

A side benefit of this ability is that it sets people at ease and enables the top OESOs to eliminate some of the OE jargon that other members of the Army find offensive.

(d) Rapid Pattern Recognition

This competency is best described as a mode of information processing which involves the rapid classification of information into immediately usable concepts. The power of this competency lies in the individual's ability to use the product of his thinking to sense, at the earliest possible moment, emerging trends, problems, or opportunities. An example of using this ability to gather information is:

"I could see they didn't want to do it because they were really fearful of getting involved in this because they felt that these two people were ahead of them--higher than them,

who would hold it against them. So it was a lot of fear about some sort of reprisals. I could tell this from the little laughter that broke out every once and a while and a few comments they made...No one said, 'Hey, I'm afraid to do this,' but there were definitely indications that there was some fear. I handled it by asking them what was the worst thing that could happen and they decided that the worst wasn't so bad."

There was some variability among top performers in their ability to do this type of on-line diagnosis, and even some of the best OESOs could become so interested in the ongoing situation that they did not have the presence of mind to pick out the salient patterns in the ongoing interaction.

Competency Cluster 7: Tactical Planning

OESOs are often called into situations that require them to solve problems, both in a quick-fix mode and in strategic long-range planning. The outstanding OESOs have an armamentarium of skills that aid them in their role as "Mr. Fixit." Most of them were adept at identifying causes and effects of events or situations. They were also able to identify key themes, and had the ability to track the patterns of power and influence in the client systems in which they were working. They also seem to be able to sense the reactions of others and build their designs with these reactions in mind.

(a) Cause-and-Effect Thinking

Individuals with this competency think in terms of why things happen as they do and have the ability to tie events to antecedent and consequent situations. In the problem-solving mode, this competency enables people to dissect situations that went sour and to pinpoint events leading up to those situations. This competency also supports the development of contingency plans and alternative courses of action based on the expected consequences of different alternatives. People who lack this competency do not anticipate consequences or spend much time thinking about why things happen as they do. They are often surprised by the turn of events and are prone to repeating their mistakes.

Cause-and-effect thinking was apparent among stellar OESOs when they analyzed people's attitudes and motives, as the following vignette illustrates:

"I was catching heat for them being dissatisfied with the outside consultants. It's like killing the messenger because he brings bad news. At the time I was carrying an OE flag so I was catching all the OE barrage, and since I was the first guy, they could really unload everything that they had been saving up that was anti-OE. So there had to be a lot of trying to cool that stuff down and then to get a little closer to home and point out the good stuff I'd done."

This competency also manifested itself in many other ways. One OESO, for example, understood the relationship between the time he was scheduled to see the CG and the quality of the time he spent with him; he also realized that he was not about to get more than a 15-minute appointment so he scheduled his appointment at the end of the day so that it could run over. This competency must be possessed to some degree by all OESOs if they are to function; however, the best OESOs are more aware of how they draw causal links and how important this type of thinking is in guiding their behavior.

(b) Identifies Key Themes in Data

This competency can be described as a mode of information processing which involves the aggregation of a great deal of information into simplified categories which serve to explain available data and predict future outcomes. People with this competency are able to point out the key components of a situation and isolate the issues or people causing the problems. They use the rapier rather than bludgeon in locating and solving problems. What differentiates this competency from some of the others mentioned earlier is that the identification of key themes is data based, either from surveys or interviews or from the examination of historical records. High-calibre OESOs did more than just look at the rank order of the GOQ. They also pulled out the central themes. For example:

"I did a survey and added some additional questions, and right off the bat, I knew there was a problem: racial imbalance. Many, many blacks, and whites were a minority. This in itself isn't good, but what really made it a problem was that 75 percent of the troops were black or Hispanic or Puerto Rican. And the leadership was white. NCOs right to the top."

Part of what helps an OESO sell OE interventions is his ability to get meaningful, understandable data from an assessment effort. Without fail, every OESO who presented data to a client without first having a clear idea of what that information really meant had a failure experience. It is clear from the interviews that one of the quickest and surest ways of ruining a relationship with a client is to do a "data dump," as illustrated clearly by this excerpt:

"I assembled all the data so he saw the raw data as it was written on the butcher paper in sections with added comments of individuals unedited. I stapled it all together and it took a lot of staples because it was kind of thick by that time. I guess I could have done that better because frankly it just blew him away, he just was not prepared for all that input."

An OESO who has this competency does not lay out all the answers, because he is aware that he does not have them and even if he did, they would be his answers and not those of the client. (This feeds into the competency of valuing the client's input.) He also does not go into a data feedback meeting without having a summary of the key issues in mind to help focus his client's attention toward what he sees as the overriding themes.

(c) Identifies and Uses Influence Patterns

Individuals with this competency are politically attuned to the formal and informal patterns of influence in an organization. They know what secretary to go to when they need to find out a piece of information or to make an appointment with an individual who is difficult to meet. They are aware that the gatekeepers of an organization may not appear on the formal organization charts, but if you want to get the CG's ear you have to pass muster with them. OESOs with this competency are constantly modifying and refining their perception of who has the power and influence:

"In other words, I'm looking for people in the political structure whom I can hook into and I started to hook into Ralph and I realized very quickly that Ralph was not the guy. He was very politically smart and he knew he didn't have the power, so I looked around and the power was the assistant division commander for mission operations and so I went about getting his support."

People who have this competency know whom they have to reach to get things done and save a great deal of time by going directly to them and cutting out the red tape:

"He saw his role clearly as a protector of the General. You didn't get to the General without going through him, you mostly didn't have anything left to do business with the General over, so you just didn't. He faithfully executed his guard-dog duties and was quite good at them. Leadership by intimidation. So I went to this guy and did my business with him and emerged the hands-down winner and got to see the General."

People who did not have this competency found themselves spending large amounts of time with people who could not help them even if they wanted to, and wasted their time as a result.

(d) Accurately Gauges the Reactions of Others

People with this competency are others-focused; they are aware that what makes them a success or a failure is in part how others view them. Accurately gauging the reactions of others to their behavior is a fine-tuning process. Effective OESOs use this competency to recalibrate their style of presentation to suit their audience. For instance, one OESO modified his presentation like this:

"You know with people of this rank you got to make your meeting move, a lot of participation, activity, movies, you know like the Boy Scouts."

A sure sign that somebody lacks this competency is that they remark often on how they were really surprised by a person's behavior:

"I could start to see him get hooked in the content and getting depressed, getting down, taking it personally. And I stopped and work through that, and you think he's got it straight and he's okay, and you proceed on."

An OESO who misjudges people's reactions to him can in effect end an intervention. An example of this is:

"I was running a team building meeting and there was this one guy there who was spouting Greek and Latin continuously. By 8:00 that night his Greek and Latin was getting on everybody's nerves. I knew it was risky,

but I said, don't you ever shut up about this Greek and Latin stuff? I guess I just told him to shut up and not even think about the stuff. Well, he didn't say another word and this kind of stifled the whole group, and the next day was just a waste of everybody's time."

OESOs with this competency know that no matter how important their information is, if it cannot be heard by the client it is of no use. Toward this end, OESOs with this competency often collect intelligence on an individual before interacting with him in order to guide their actions.

Competency Cluster 8: Tactical Flexibility

A person with this competency is able to see and pursue alternative means in order to reach his objectives when there are barriers to the normal or preferred course of action. An individual with this competency is capable of taking on a number of different roles depending on what the situation demands, and some OESOs who consciously recognize this as a competency set up situations so that they can legitimately take on multiple roles, or they arrange with their OESO partners to each take on a complementary role.

Officers with this competency are characterized by remembering what their first and foremost task is: conducting a sound OE intervention. With that goal in sight they are willing to change the design of their plan, the way that they speak, and how they dress if it will aid in making their mission successful.

(a) Assumes and Differentiates Among Multiple Roles

OESOs with this competency see the value of having a certain amount of flexibility built into the part or role they are playing. This flexibility serves a number of different functions: it can be understood as having a built-in contingency plan so that if one role fails to get the desired results, one has an alternative strategy. Often this notion of having designated multiple roles between two consultants frees one of them from a distracting aspect of the task at hand to concentrate on another, more complicated aspect of the job. For instance:

"I was the one who started off the talking about the problem, getting them to open up. I explained the procedures to them, Simon worked as a recorder during this phase of the operation. He was there primarily to take notes on

what was being said. This freed me to concentrate on facilitating the discussion--and besides, he's a much better speller than I am."

Another aspect of this competency is being sensitive to the client's needs. A good OESO will shift from the role of "the friendly facilitator" to that of "the cold, calculating expert," if that is the role that will make the present intervention work. The good OESO can shift smoothly from one role into another without seeming odd or manipulative. For example:

"I started out with a low-keyed approach that was very, very businesslike. I started out just being recorders; I tried to play no heavy leadership roles; I did not spend great amounts of time trying to process them; I did not play what I would call a heavy-handed human relations role. However, I took a more active role when people got out of hand."

(b) Responds Consciously to Client Norms and Expectations

A person with this competency is conscious of the fact that every organization has different norms and expectations for an individual's behavior. Because the OESO is generally put in the position of being an outsider to the organizations he is working with, it is important for him to fit in easily; often people just need a single excuse to distrust an "outside" expert. If an OESO is doing work for a "brown shoe" type of organization, he had better not present himself as anything other than someone with a deep respect for regulations and tradition. Of course, the opposite is true if the organization he is working for is run mostly by civilians; he will probably get more cooperation from them if his approach lacks a stiff military bearing. The key concept that the outstanding OESO keeps in mind is that he wants to do the job that he was trained to do and he will put on any reasonable window dressing to accomplish that job.

"So the approach was, well, I'm just a good old country lawyer. I wanted to make sure that he knew that I wasn't some flake, some turkey social science person. Once we're clear on that I could get on with the team building effort."

Another important facet of this competency is that an individual who possesses this competency is conscious of changing his language to suit the level of the group he is working with. He does things like this:

"I take the behavioral science management jargon and translate it into ordinary day-to-day terms without losing the concreteness or the specificity of the design. I am inclined personally to use a fair amount of what I call technical language. I point this out and say, when we talk about this stuff it can mean a lot of different things to a lot of different people, let's make sure we're all singing off the same sheet of music. So, unlike some consultants that say we've got to change our words into kindergarten language, I think you have to just change them to the degree you need to, to make them acceptable to the military..."

In a similar vein, part of an OESO's job is preparing written materials for his superior officers. A number of top-notch OESOs recognize that if those materials are ever to get to the eyes of the commanding officer they were intended for, they had better meet military standards, as illustrated here:

"We talked about a number of opportunities to introduce technology--a better way of work, perhaps--at least what we thought was a better way to work. I was able to get the concept into a very traditional-looking concept paper. I use all the traditional staff techniques and approaches to get my foot in the door."

In some respects, people with this competency know the value of what they are offering and refuse to be shut out because someone in power has a closed mind to innovations. They are willing to play the game of "you name the norms and I'll fit them" if that is what it takes to make an inroad to an organization.

(c) Takes Advantage of Opportunities

To be a successful and productive OESO requires that an individual have an eye for spotting opportunities and a concern for getting the most out of these opportunities when they arise. Selective and rapid response to opportunities characterizes the better OESOs. They have a sense of direction with respect to their mission, and choose the opportunities they would respond to accordingly. This competency can be traced to the superior OESO's strong sense of self and thus seeing himself as the origin of work. People who lack this competency are more passive, taking action in response to opportunities only when pushed by circumstances to do so. People with this competency have a

"Wouldn't it be great if we could..." attitude, as opposed to getting bogged down in all the reasons why something cannot be done."

Responding to opportunity has several manifestations. Frequently, it has to do with linking OESO technology to either the total organizational mission or to an upcoming activity dictated from an outside source. An example of how an OESO took advantage of such an opportunity is:

"I showed how leadership and management training tied into the overall effort of the center and the school in terms of dealing with people issues, and I showed how we could support the center's efforts to deal with the equal rights issues. I think that that was really what really cemented us in the program, that showed that we could really be of benefit to the command."

In taking advantage of opportunities there is always an element of risk involved, that if you fail at what you are asked to do your neck is stretched out all that much farther. Yet the better OESOs have the confidence to take this risk:

"I talked to the other OESOs for days about the risks involved and the tradeoffs and should we in fact go in with a specific recommendation, and decided, yes, we should. I put together a debriefing package to include charts and typed handouts to be left for people, went into the Chief and said, 'Okay, we wish to be involved as OESOs in the upcoming CPX.'"

Another indicator of taking advantage of opportunities is seen when an OESO links one operation into another. This is generally done by starting off with a training group and locating potential clients within the group and making a pitch to them. The better OESO sees every interaction with a person in control of an organization as an opportunity to help that person improve that organization.

(d) Problem-focused Adaptation of Techniques and Procedures

People with this competency are not tied so closely to the plans they started off with that they lose the client group in order to have their plan run smoothly. The problem may be due to "world blocks," or obstacles in the environment, as well as "personal blocks," such as a lack of skill at a particular

Some of the adaptations accomplished by the OESOs in this sample included such things as taking a week-long course and fitting it into two days; changing the focus of a transition meeting to a conflict resolution meeting; and adapting a procedure so that it could be carried out by the client without the OESO being present:

"He said, 'Look, I like the idea, can I do it myself?' So I said, 'You can do it yourself if that's the way you want it.' So I sat down and designed him a little do-it-yourself transition kit, and he did it."

An OESO with this competency has the flexibility and the understanding that, although the OE intervention he is working on is extremely important to him, it may not be so important to other people involved, and therefore he is willing to build around the schedules of others who are participants in the intervention.

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are. expertise is in organizational effectiveness wo be with how people felt or how smoothly a meeting had been i. This is not true of the outstanding OESOs; they are concerned with the bottom-line cost in terms of time and money. In short, being results oriented means being concerned for how things turn out in a concrete, measurable way. The individual with this competency keeps track of the job at hand by setting up milestones so that he can assess progress; he also sets up an evaluation procedure so that he can measure success even in situations where having a measurable outcome is not a normal occurrence.

A person who is results-oriented sees time as a resource not to be wasted. He knows that there are only so many things he can do and begrudges time that is ill-spent. This does not

technique. The ability to make on-line adaptations is tied into divergent thinking, the ability to generate alternatives. People who lack this competency may fail to see alternatives and may be unable to abandon unproductive or inefficient techniques.

Some of the adaptations accomplished by the OESOs in this sample included such things as taking a week-long course and fitting it into two days; changing the focus of a transition meeting to a conflict resolution meeting; and adapting a procedure so that it could be carried out by the client without the OESO being present:

"He said, 'Look, I like the idea, can I do it myself?' So I said, 'You can do it yourself if that's the way you want it.' So I sat down and designed him a little do-it-yourself transition kit, and he did it."

An OESO with this competency has the flexibility and the understanding that, although the OE intervention he is working on is extremely important to him, it may not be so important to other people involved, and therefore he is willing to build it around the schedules of others who are participants in the intervention.

The really good OESOs are flexible but not limp; they know how far you can bend, twist, and tinker with a design before you mutilate it beyond being anything more than a waste of time for the participants and the OESO involved.

Competency Cluster 9: Results Orientation

The primary orientation of the typical individual whose area of expertise is in organizational effectiveness would be with how people felt or how smoothly a meeting had been run. This is not true of the outstanding OESOs; they are concerned with the bottom-line cost in terms of time and money. In short, being results oriented means being concerned for how things turn out in a concrete, measurable way. The individual with this competency keeps track of the job at hand by setting up milestones so that he can assess progress; he also sets up an evaluation procedure so that he can measure success even in situations where having a measurable outcome is not a normal occurrence.

A person who is results-oriented sees time as a resource not to be wasted. He knows that there are only so many things he can do and begrudges time that is ill-spent. This does not

mean that he cuts corners on projects or that his work is fast and shoddy, but it does highlight that these top people value their time too highly to waste it on trivial matters.

(a) Concern for Measurable Outcomes

A constant difference between the top OESOs and the control group was that the top people knew how much in the way of resources or man-hours their interventions saved; the control group very rarely mentioned this as a concern.

A good OESO could tell you how much money his interventions saved:

"They had been trying to get the design out for four years. After the series of meetings we ran, it was on the street in four months, and they estimate that for every one they build, they are going to save one and a half million dollars."

The better OESOs take a great deal of pride in what they do and it is clear that they like to point to a solid accomplishment. Individuals with this competency keep track of how they are progressing; they note how many organizations they have worked for and who it was in the organization that they worked for--whether it was a civilian contractor or a three-star general.

They also evidence a desire to institutionalize any changes they make. They want the change to live on after they leave the organization. They try to do this in a number of different ways. One way is to start at the top and go on down the chain of command:

"I started with the Chief and then moved on to some two- and three-stars, and most of them have done it within their shops, and in some of those shops it's gone down five levels, and right now we're trying to get it into the Army War College."

This orientation to results allows the top OESOs to monitor their impact on the Army and gives them the personal feedback on their performance they often do not get in the normal course of affairs. They know what they have done and can point to it with pride; because of this extra satisfaction they seem to care more about getting the job done right, for they get personal gratification out of the bottom-line figures.

(b) Time Consciousness

Individuals with this competency are always concerned with how much time a given job will take, is taking, or did take. They have a sense of time as a resource that can be spent in an effective or ineffective way. Obviously, the good OESOs try to be as efficient as possible in the way they spend their time. They demonstrate this competency in their interviews by their many references to the time it takes to do a task:

"So I said to him, can you give me six hours? So we spent one three-hour meeting with his staff and another three-hour meeting with the employees of each of the sections."

or

"I usually type out a meeting design for myself. It's mostly to get a sense of the time each task should take. I list the tasks on the righthand side of the page and the times on the left. This way I can see if I'm running too slow or too fast."

The other way this concern for time came out in the interviews was the way top OESOs moaned about time wasted or misspent. They take personal responsibility for any event that did not have a payoff--they give the impression of having been somehow tricked out of a piece of time. "I spent the whole day with him, only to find out that he couldn't authorize me to come in, and I had to go through the whole thing again with his boss." This type of statement is indicative of a desire to use time to get the process of OE moving in the Army. The superior OESOs believe in what they are doing and definitely want to get on with the job.

Statistical Analysis of the Competency Model

Table 5 presents a behavioral codebook and summary for each of the competencies hypothesized to differentiate the outstanding OESO from his average counterparts. The indicators from this table were used as a guide to score the interview transcripts for each competency. Evidence in an interview for any one of the indicators of a given competency was calculated as a score for that competency. Transcripts were scored according to the strict criteria of the codebook rather than an overall sense of intention or general emergent pattern that was used as the basis for generating the competency categories just presented. The standard for interview scoring was set at a

TABLE 2.5
Summary of the Competencies

<u>COMPETENCY CLUSTER</u>	<u>INDICATORS</u>
(1) <u>Functional Knowledge</u>	
a. Knowledge of organization effectiveness theory	<ul style="list-style-type: none"> • Mentions specific theoretical references • Uses established theoretical concepts
b. Knowledge of the client system as an organization	<ul style="list-style-type: none"> • Mentions formal organization hierarchy of client • States functions or operations of client system • Identifies people who are functionally responsible for handling key issues
(2) <u>Strong Self-Concept</u>	
a. Self-confidence	<ul style="list-style-type: none"> • Compares self favorably to others • Interacts with superiors as an equal • Sees self as "origin," one who makes things happen • Describes self as an expert
b. Low fear of rejection	<ul style="list-style-type: none"> • Explicitly disagrees with superior/client on significant issues • Lays down ground rules for own/others' involvement
c. Desires restraint	<ul style="list-style-type: none"> • Does not get personally involved with client when asked to do so • Controls impulsive behavior or remarks

(Table 2.5, continued)

- | | |
|---------------------------------------|---|
| d. Perceptual objectivity | <ul style="list-style-type: none">● Explicitly articulates both sides of an issue● Acknowledges legitimacy of viewpoint opposite to one's own |
| e. Accepts responsibility for failure | <ul style="list-style-type: none">● Mentions own possible role in a failure, while explicitly absolving others● Critically evaluates own role behavior● Explicitly accepts responsibility for failure |

(3) Professional Self-Image

- | | |
|--|--|
| a. Sees self as substantive expert | <ul style="list-style-type: none">● Writes cases, reports, articles, etc.● Presents self to others as a resource● Makes substantive (rather than process) recommendations/observations |
| b. Understands and works to overcome the limits of own expertise | <ul style="list-style-type: none">● Anticipates and uses others' experiences to prepare for difficult situations● Calls in colleagues for critique or augmentation of own plan● Recognizes and asks for help from people in organization |
| c. Develops others | <ul style="list-style-type: none">● Works directly to develop a new skill in the client● Has others practice the role of consultant● Gives others coaching on particular activity |

(Table 2.5, continued)

(4) Develops Common Understanding

- | | |
|--|---|
| a. Concern for clarity | <ul style="list-style-type: none">● States expectations for others' performance or role● Asks questions to clarify ambiguities● Cites need for specification and concrete documentation |
| b. Values client input | <ul style="list-style-type: none">● Involves client actively in design or leadership of intervention activities● Consults client before taking action, in absence of political motivation |
| c. Establishes professional rapport | <ul style="list-style-type: none">● Able to get client to open up and talk about serious issues● Provides evidence of client acceptance |
| d. Surfaces and discusses key concerns | <ul style="list-style-type: none">● Raises and discusses a specific problem area with client (e.g., confidentiality)● Re-contracts with client |

(5) Personal Influence

- | | |
|-----------------------|---|
| a. Concern for impact | <ul style="list-style-type: none">● Expresses desire to control behavior of others● Offers unsolicited help● Thinks about having a high personal impact |
|-----------------------|---|

(Table 2.5, continued)

- | | |
|--|---|
| b. Use of unilateral power | <ul style="list-style-type: none">● Tells others to control resources● Tells others to get to work and not spend time on details● Takes control of meeting, and insists upon following design and/or initial objectives |
| c. Creates positive image | <ul style="list-style-type: none">● Documents and publicizes successes● Cites own reputation as reason for requests for work● Takes action to create a positive impression |
| d. Uses interpersonal influence strategies | <ul style="list-style-type: none">● Co-opts others● Takes action to persuade others, resulting in a desired change in their response |
| e. Understands own impact on others | <ul style="list-style-type: none">● States how others view him or her in specific situation● Understands own value as a stimulus or symbol |
| f. Oral and written presentation skills | <ul style="list-style-type: none">● Has crisp, articulate, unhesitant verbal style● Gives evidence of having written clear, understandable reports or briefings. |

(Table 2.5, continued)

(6) Diagnostic Skills

- | | |
|---|--|
| a. Obtains multiple perspectives on situations/problems | <ul style="list-style-type: none">● Asks for help, opinion, advice of another professional about a particular problem● Collects information from people with potentially or actually different perspectives on an issue |
| b. Diagnostic use of concepts | <ul style="list-style-type: none">● Sees situation in terms of mentally manipulable concepts● States an existing theory, principle, or rule of thumb to explain a situation |
| c. Uses metaphors and analogies | <ul style="list-style-type: none">● Uses concrete analogies to explain a complicated situation in simple terms● Uses vivid metaphors to sum up events |
| d. Rapid pattern recognition | <ul style="list-style-type: none">● Notes a set of behaviors and conceptualizes it in on-line situations● Generates nontrivial thematic summary of situations or individuals from minimal interactions |

(7) Tactical Planning

- | | |
|------------------------------|---|
| a. Cause-and-effect thinking | <ul style="list-style-type: none">● Provides a series of inferential "if x, then y" statements● States implications of actions or situations |
|------------------------------|---|

(Table 2.5, continued)

- | | |
|--|---|
| b. Identifies key themes in data | <ul style="list-style-type: none">● Provides thematic summary of complex series of events, tasks, or activities● Identifies some individual or attribute of an individual as source of problem● Engages in vigorous data reduction activity |
| c. Identifies and uses influence patterns | <ul style="list-style-type: none">● Identifies influential others and seeks their support● Builds his/her credibility before seeking alliances● States political rationale for particular behavior or action |
| d. Accurately gauges the reactions of others | <ul style="list-style-type: none">● Selects specific issues, data, etc., to capture the attention of others● Modifies behavior as the result of interpersonal perceptions and obtains desired results● Uses advance intelligence about someone to guide interactions with him/her |

(8) Tactical Flexibility

- | | |
|--|---|
| a. Assumes and differentiates among multiple roles | <ul style="list-style-type: none">● Describes shift in own role over the course of an interaction● Attempts to set up multiple roles to legitimize a variety of activities● Specifically adopts an alternative role to meet demands of others |
|--|---|

(Table 2.5, continued)

- | | |
|--|--|
| b. Responds consciously to client norms and expectations | <ul style="list-style-type: none">● Structures experiences to meet others' abilities, limitations, and/or needs● Uses FM standards to design and structure meetings so as to conform to client's expectations● Consciously adjusts language to fit with client language● Explicitly avoids use of social science jargon |
| c. Takes advantage of opportunities | <ul style="list-style-type: none">● Recognizes ongoing or upcoming activities which are opportunities for OE● Uses resources in multiple ways● Links OE to organizational mission or larger issues affecting the organization● Recognizes and incorporates useful people, ideas, and programs |
| d. Problem-focused adaptation of techniques and procedures | <ul style="list-style-type: none">● Designs/adapts techniques or procedures to respond to client's request● Designs activities around the availability of people or resources● Modifies design to meet emergent needs or expectations of others |

(Table 2.5, continued)

(9) Results Orientation

a. Concern for measurable outcomes

- Describes outcomes in terms of concrete performance indicators or specific changes in work procedures
- Describes specific milestones
- Evaluates impact of an intervention
- Seeks to institutionalize new process/procedure

b. Time consciousness

- Explicitly mentions amount of time spent on activity
- Expresses concern over wasted time

reliability level of .80 between independent scorers. Where more significant disagreement existed the interviews were doubly scored. Positive and negative indicators for each competency, when present, were scored separately, but for the major analyses they were combined into two separate competency measures:

- (1) Strength, or the raw frequency of the positive indicators minus the raw frequency of the negative indicators for each competency
- (2) Presence, or the presence (vs. absence) of positive indicators for each competency minus the presence (vs. absence) of the negative indicators, disregarding raw frequency.

Statistical analyses of differences on the strength and presence variables between the superior and average OESO groups are presented in Table 2.6. By the combined measure of competency strength (total positive indicators minus total negative indicators), 24 of the 34 individual competencies (71 percent) significantly differentiated the superior from the average OESO performing groups in the expected direction at the .10 level of significance or better. Nevertheless, the differences for 33 of the 34 competencies (97 percent) were in the expected direction, regardless of significance. Statistical analysis by the presence variable fared less well in surfacing differences by competency between the superior and the average OESO groups. Only 13 of the 34 competencies (38 percent) differentiated the superior from the average groups by a Chi-square contingency analysis, although all the differences regardless of significance were in the expected direction. Competency strength rather than presence therefore appeared to be the more powerful variable in surfacing differences between the superior and average OESO groups at statistical levels of significance. Nevertheless, as we shall discuss later, the absence of a significant difference on a given competency may not be necessarily interpreted to mean that a competency is not important as a selection or training criterion, since its presence in both superior and average OESO groups may denote that a given competency has both success value and threshold value (i.e., is possessed by average as well as by superior performers).

Data analysis by competency cluster rather than individual competency provides more consistent results. Table 2.7 illustrates these differences on the strength variable, and 8 of the 9 competency clusters show statistically significant differences between superior and average OESOs at the .01 level of significance or better. The only cluster which fails to show acceptable levels of difference is Cluster 3: Professional

TABLE 2.6
Statistical Analysis of Coding by Competency

Competency Cluster	Strength				Presence			
	\bar{x} (Sup.) n=19	\bar{x} (Ave.) n=19	s^2 (26df)	z	\bar{x} (Sup.) n=19	\bar{x} (Ave.) n=19	s^2	z
1. Functional Knowledge								
a. Knowledge of organization effectiveness theory	2.21	.58	3.51	<.001	18	6	6.76	<.01
b. Knowledge of the client system as an organization	1.26	.37	2.68	<.01	13	6	5.16	<.05
2. Strong Self-Concept								
a. Self-confidence	1.63	.53	2.36	<.005	13	7	3.30	<.10
b. Low fear of rejection	1.11	.30	0.56		16	12	2.17	
c. Exercises restraint	.35	-.05	0.46		2	2	.00	
d. Perceptual objectivity	.37	.26	3.91	<.001	7	5	.49	
e. Accepts responsibility for failure	1.21	.00	2.91	<.005	11	6	2.66	<.15
3. Professional Self-Image								
a. Sees self as substantive expert	.95	.47	1.36	<.10	11	5	3.89	<.05
b. Understands and works to overcome the limits of own expertise	.42	.10	1.81	<.05	6	2	2.53	<.15
c. Develops others	.42	.37	.22		6	5	.13	
4. Develops Common Understanding								
a. Concern for clarity	1.68	1.10	1.12		15	11	2.95	
b. Values client input	1.21	.63	1.66	<.10	13	5	1.73	
c. Establishes professional rapport	.74	.37	1.08		8	6	.45	
d. Surfaces and discusses key concerns	.39	.37	1.53	<.10	10	5	1.73	
5. Personal Influence								
a. Concern for impact	.32	.42	-.27		5	5	1.35	
b. Use of unilateral power	.63	.21	1.43	<.10	8	3	3.20	<.10
c. Creates positive image	1.00	.00	4.36	<.001	12	4	14.15	<.001
d. Uses interpersonal influence strategies	1.16	.53	1.70	<.05	13	7	3.30	<.10
e. Understands own impact on others	.63	.37	.70		8	5	1.35	
f. Oral and written presentation skills	.79	.32	1.57	<.10	7	5	.49	
6. Diagnostic Skills								
a. Obtains multiple perspectives on situations/problems	1.47	.63	2.32	<.05	13	9	1.73	
b. Diagnostic use of concepts	.84	.53	.98		9	6	.39	
c. Uses metaphors and analogies	1.26	.79	1.68	<.05	13	7	.96	
d. Rapid pattern recognition	1.11	.16	2.52	<.01	11	3	5.73	<.05
7. Tactical Planning								
a. Cause and effect thinking	1.11	.68	1.31		12	7	2.61	
b. Identifies key themes in data	2.37	.63	3.20	<.005	15	9	6.97	<.05
c. Identifies and uses influence patterns	1.53	.37	2.74	<.005	13	6	5.16	<.05
d. Accurately gauges the reactions of others	.39	-.21	2.43	<.01	11	5	2.66	<.15
8. Tactical Flexibility								
a. Assesses and differentiates among multiple roles	.34	.32	2.25	<.05	11	6	2.66	<.15
b. Responds consciously to norms and expectations	.79	.32	1.57	<.10	9	5	1.35	
c. Takes advantage of opportunities	1.74	.47	2.11	<.05	15	6	3.62	<.01
d. Problem-focused adaptation of techniques and procedures	.79	.58	.74		11	7	1.39	
9. Results Orientation								
a. Concern for measurable outcomes	1.95	.31	4.45	<.001	17	5	13.55	<.001
b. Time consciousness	1.32	.68	2.06	<.05	16	7	3.93	<.01

*One-tailed

TABLE 2.7
Statistical Analysis of Coding by Competency Cluster

Competency Cluster	Strength			
	\bar{x} (Sup.)	\bar{x} (Ave.)	t_{36}	p^*
1. Functional Knowledge	3.47	.95	4.99	<.001
2. Strong Self-Concept	4.37	1.63	2.97	<.005
3. Professional Self-Image	1.79	.94	1.64	<.10
4. Develops Common Understanding	4.53	2.47	2.72	<.01
5. Personal Influence	4.53	1.84	3.32	<.005
6. Diagnostic Skills	5.89	1.47	4.03	<.001
7. Tactical Planning	5.89	1.47	4.03	<.001
8. Tactical Flexibility	4.16	1.68	3.14	<.005
9. Results Orientation	3.26	.89	4.85	<.001
Sum: Positive indicators	39.05	17.32	7.53	<.001
Sum: Negative indicators	2.37	3.32	-1.23	
Sum: Positive-Negative indicators	36.68	14.00	7.61	<.001

*One-tailed

Self-Image. The relatively small number of superior and average OESOs who showed evidence of possessing the competencies in the cluster (documented in Table 2.6) and the relative lack of strength in mean indication by the two groups suggests that seeing oneself as a substantive expert, understanding and working to overcome the limits of one's own expertise, and developing others as aspects of professionalism were not mainstream activities to begin with, even though the expert role was possessed more frequently by outstanding OESOs than by their average counterparts.

Taking all the competency clusters together, the results are even more impressive. Table 2.7 presents the combined results, as well as those for the positive indicators and negative indicators summed separately. It is of interest that the negative indicators by themselves do not differentiate superior from average OESOs as viewed on the basis of their nomination by peers and through their actual accomplishments. The important conclusion here seems to be that one may make mistakes or demonstrate the lack of certain competencies and still make up for that deficit through the consistent demonstration of the greater number and frequency of positive competency indicators. Subtracting the negative indicators from the positive indicators nevertheless creates a slightly stronger difference by the measure of strength. Here the slight advantage of the superior group over the average OESO group in terms of the fewer numbers of negative indicators scored weighs to the cumulative advantage of the overall effect.

Finally, Table 2.8 illustrates the classification of superior versus average OESOs by the variables of strength and presence developed from the interviews across all the competencies. Considering only the positive indicators, 87 percent of the interviewees were correctly classified by median splits on competency strength, while only 76 percent were correctly classified according to competency presence based on median splits for that variable. By splitting the strength variable along the median for negative indicators, the formerly nonsignificant effect for comparing mean negative strength between groups becomes statistically significant at the .05 level, 66 percent of the interviewees being correctly classified by this measure. For both the strength and presence variables, with the negative indicators subtracted from the positive indicators a greater degree of correct classification obtains in comparison to the results for positive indicators only. The rate of correct classification for the strength variable rises to 89 percent, and for the presence variable the rate rises to 84 percent, both patterns of classification being highly significant statistically.

TABLE 2.8

Classification of OESO Interviewees by
Competency Strength and Presence

Final
Criterion
Group:

(a) Positive indicators only

	Strength ≤28 ≥29		Presence ≤15 ≥16	
Superior (n=19)	3	16	5	14
Average (n=19)	17	2	15	4
	$\chi^2 = 20.69, p < .001$ (Theta = .74)		$\chi^2 = 10.56, p < .001$ (Theta = .53)	

(b) Negative indicators only

	Strength ≤2 ≥2		Presence ≤2 ≥2	
Superior (n=19)	14	5	15	4
Average (n=19)	8	11	10	9
	$\chi^2 = 3.89, p < .05$ (Theta = .32)		$\chi^2 = 2.92, p < .15$ (Theta = .28)	

(c) Positive minus negative indicators

	Strength ≤26 ≥27		Presence ≤13 ≥14	
Superior (n=19)	2	17	3	16
Average (n=19)	17	2	16	3
	$\chi^2 = 23.68, p < .001$ (Theta = .79)		$\chi^2 = 17.79, p < .001$ (Theta = .68)	

The correct classification on positive indicators for the strength variable, in fact, is not significantly greater than the classification that can be obtained on the basis of presence when negative indicators are subtracted from the positive indicators. The importance of this finding is that if an interview-based assessment process were conducted at OECS or in the field, presence is a more practical measure than strength. Interrater reliability on presence is expected to be higher than that for strength, and therefore is not as sensitive to faults in the interviewing technique as is the latter. A selection, assessment, or certification system which included a behavioral event interview or a more active behavior-based assessment process could readily adapt to the competency indicators as measures of the presence or absence of important OESO competencies in a way that promises to have acceptable validity in application.

Relationships Among Competency Clusters

Table 2.9 shows the intercorrelations among competency clusters, the clusters themselves having been defined by internally consistent aggregations of individual competencies rather than by formal cluster analysis techniques. Each of the correlations is based upon competency strength by cluster, determined as the sum of positive indicators minus the sum of negative indicators for each of the clusters. The OESO sample size was not sufficient to justify more elaborate analysis procedures; in addition, these competency aggregations appear to represent functional task-related clusterings in terms of day-to-day OESO performance as gleaned in particular from the interviews of superior OESOs. The correlation pattern suggests strong relationships between certain pairs of competencies and somewhat weaker relationships between others. This may indicate that the competency clusters are not all measuring the same thing (for example, intellectual aptitude). A further attempt was made, nevertheless, to impose some order upon this pattern of relationships in the form of a hypothetical process model which is descriptive of how the competencies were seen to interact with one another. Figure 2.1 presents such a representation. The decision rules for arraying the competency clusters in this pattern were as follows.

1. Motives and self-schema variables (e.g., Strong Self-Concept and Results Orientation) are considered primarily causal.
2. Otherwise, competencies are seen as causal to the degree to which they have potential to augment other competencies in the consulting process (for example, Results Orientation augments Diagnostic Skills in terms of domain and direction;

TABLE 2.9

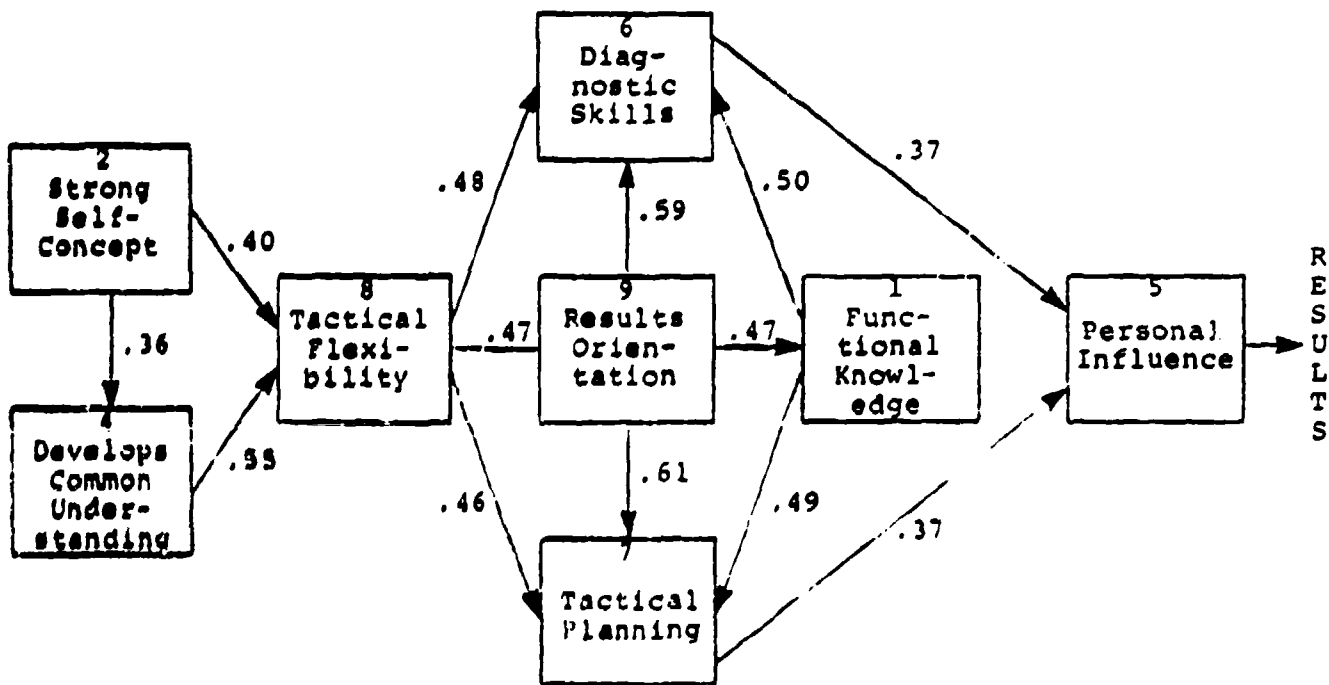
Correlations Among Competency Clusters

Competency Cluster	1	2	3	4	5	6	7	8
1. Functional Knowledge								
2. Strong Self-Concept	.32*							
3. Professional Self-Image	.07	-.11						
4. Develops Common Understanding	.10	.36*	.13					
5. Personal Influence	.33*	.12	.26	.23				
6. Diagnostic Skills	.50**	.32	.26	.36**	.37**			
7. Tactical Planning	.49**	.34*	.19	.42**	.37**	.35*		
8. Tactical Flexibility	.31**	.40**	.25	.55**	.23	.48**	.46**	
9. Results Orientation	.47**	.40**	.30*	.43**	.34*	.59**	.61**	.47**

*p<.05

**p<.01

FIGURE 2.1
A Hypothetical Dynamic Process Model
of Competency Interaction*



*Numbers in diagram are correlation coefficients between competency clusters.

and Results Orientation drives the acquisition of Functional Knowledge, which in turn enhances Diagnostic Skills and Tactical Planning.

3. Links between competency clusters were constructed only where these links were supported by the highest coefficient of correlation between clusters.

4. Secondary hypothetically causal relationships were omitted.

This diagram may be interpreted as follows. Results Orientation is a primary driver which informs Functional Knowledge, Tactical Planning, Diagnostic Skills, and Tactical Flexibility. In addition, Strong Self-Concept positions an individual better to develop Common Understanding with the client and to explore other options signified by Tactical Flexibility. Through Tactical Flexibility, Diagnostic Skills and Tactical Planning are likewise augmented. Moreover, results are obtained through Diagnostic Skills and Tactical Planning, not primarily through Results Orientation, even though the title given to this latter cluster might suggest that is the case. One might have strong concern for measurable outcomes and the efficient use of time, but without the appropriate level of Diagnostic Skills and Tactical Planning, it is unlikely that a positive solution that can be evaluated will result.

Finally, Influence Skill appears to be that through which Diagnostic Skills and Tactical Planning are augmented in the real world of organizations. In the correlation matrix presented in Table 2.9, Personal Influence appears to be equally associated with Diagnostic Skills and Tactical Planning while being connected with many other competencies, and we suspect that it is more pervasive than this diagram suggests. Again, however, without effective interpersonal influence the best diagnosis and problem solving may very well come to naught in actual application. The only competency cluster omitted from this diagram is Professional Self-Concept, for which the only statistically significant link was with Results Orientation. As noted earlier, this particular cluster did not differentiate outstanding from average OESOs, and therefore it has been eliminated from the diagram.

RESULTS OF THE PERFORMANCE CHARACTERISTICS ANALYSIS

The methodology of job competence assessment has as an input the views and opinions of practitioners about the characteristics attributed to outstanding performers. The performance characteristics analysis was employed to supplement the interview-based methodology and to permit the examination of the degree of convergence that can be expected from these two disparate means for collecting information about the competencies of the superior OESO. The responses of those OESOs who rated the 115 hypothesized performance characteristics were reduced into two scales:

- (1) Success value, or the degree to which a characteristic was perceived as important to outstanding performance, with trouble likely if the characteristic were not possessed.
- (2) Threshold value, or the degree to which a characteristic was possessed by many people who might be considered marginal, yet would also cause trouble if the characteristic were ignored in selection or training.

Following the analytic process developed for the job task analysis, the performance characteristics were categorized by splitting success and threshold values at the median, the results of which are listed in Table 2.10. As with the results of the job task analysis, the performance characteristics in each of the success/threshold quadrants are in order of their presentation on the original survey with no other significance attached. Success and threshold values are listed for the performance characteristics in each quadrant. In addition, the indicators in the competency codebook (Table 2.5) were used to classify all the performance characteristics that could be classified, and the competencies which correspond to each item are indicated in the table.

Upon inspection, what is immediately apparent is that the majority of competencies developed through the interview-based competency analysis are captured in the quadrant illustrated as Table 2.10b: characteristics having high success value and low threshold value, i.e., those which are seen to be important to outstanding performance and not possessed by marginal (or average) performers. This pattern is further illustrated in Table 2.11, where the frequencies with which the performance characteristics accounted for each of the competencies are set

(Table 2.10, continued)

	Mean Success	Mean Threshold	Competency
Able to identify and respond to an organization's real needs	34	32	7b
Able to quickly adapt to changing situations	43	34	3c, 3d
Has a systems view of organizations and the environments in which they operate	31	10	1b
Able to innovate	50	10	3d
Is sensitive to organizational needs	33	10	1b
Is persuasive	32	12	3d, 4
Able to successfully handle stress and frustration	53	12	1c
Characteristics rated <u>low</u> success, <u>high</u> threshold			
Able to separate what you do as an OESO from what you do in family life	26	21	
Is empathic	26	23	
Builds alliances with others	31	24	7c
Able to work well and complement the other member of the OESO team	25	18	
Builds a sense of ownership and commitment to the client's problem: lets the client know that his problems are yours, too; shares concern with the problem	13	17	
Scamira	26	19	
Does not threaten the client	15	14	5e
Takes into account factors outside the organization (e.g., environment)	17	12	
Ability to generalize from the specific: to generate broad implications for the organization from specific observations	21	10	7a
Understands general resource management in the Army	35	17	1b
Ability to transition yourself from an old to a new client in the same command	-01	17	
Ability to analyze technical data from ADP systems	32	23	
Contracting: skill in arriving at a definition of work to be done	19	14	4a
Does not take over client responsibility or leadership	18	14	1c
Sees self as an actor: does not see others as controlling his/her fate	11	24	1a
Sees the OESO's job as career-enhancing and worthwhile	27	19	
Respects and adapts to the client's time constraints	16	17	3d
Attention to details	28	10	
Does not project the air that he is telling others what to do and how to do it	19	16	5e
Is client-centered (e.g., wants to find out what the CO's real pain is)	23	13	1c
Knows how to seek expert advice	12	13	
Ability to set up an intelligence organization within the client system	34	12	
Open to receive new information	27	19	4a
Extroverted	11	25	
Observes verbal and nonverbal cues	36	14	
Recognizes that you are only the technical resource person--that the organization really owns the OE	30	13	
Understands the fundamentals of research methodology	11	24	
Able to negotiate for your share of resources for continuation of OE effort	36	25	3d
Can socialize with the client	-06	17	
Doesn't take himself too seriously	27	15	
Good sense of humor	23	20	
Ability to rather intelligence about an organization	37	11	4a
Knowledge of OE resource management	-01	19	
Finds out what is important to others	19	17	7b
Develops and controls the visibility to the organization	14	10	
Has an ability to understand and communicate theories, principles, models, and ideas	13	14	
Practices self-discipline	17	22	2c

(Table 2.10, continued)

	Mean Success	Mean Threshold	Competency
Able to identify and respond to an organization's real needs	34	02	7b
Able to quickly adapt to changing situations	43	04	3c, 3d
Has a systems view of organizations and the environments in which they operate	31	10	1b
Able to innovate	50	10	3d
Is sensitive to organizational needs	33	10	1b
Is persuasive	32	12	3d, f
Able to successfully handle stress and frustration	58	12	1c
(c) Characteristics rated <u>low</u> success, <u>high</u> threshold			
Able to separate what you do as an OESO from what you do in family life	38	21	
Is empathic	26	23	
Builds alliances with others	31	24	7c
Able to work well and complement the other member of the OESO team	25	15	
Builds a sense of ownership and commitment to the client's problem: lets the client know that his problems are yours, too; shares concern with the problem	10	17	
Stamina	26	19	
Does not threaten the client	15	24	5e
Takes into account factors outside the organization (e.g., environment)	17	12	
Ability to generalize from the specific: to generate broad implications for the organization from specific observations	21	17	7a
Understands general resource management in the Army	35	27	1b
Ability to transition yourself from an old to a new client in the same command	30	17	
Ability to analyze technical data from ADP systems	32	25	
Contracting: skill in arriving at a definition of work to be done	19	14	4a
Does not take over client responsibility or leadership	15	14	2c
Sees self as an actor: does not see others as controlling his/her fate	11	24	1a
Sees the OESO's job as career-enhancing and worthwhile	27	29	
Respects and adapts to the client's time constraints	16	17	3d
Attention to details	28	17	
Does not project the air that he is telling others what to do and how to do it	19	16	5e
Is client-centered (e.g., wants to find out what the CO's real pain is)	23	13	2d
Knows how to seek expert advice	32	19	
Ability to set up an intelligence organization within the client system	04	12	
Open to receive new information	27	18	6a
Extroverted	11	25	
Observes verbal and nonverbal cues	26	14	
Recognizes that you are only the technical resource person--that the organization really owns the OE	09	13	
Understands the fundamentals of research methodology	11	24	
Able to negotiate for your share of resources for continuation of OE effort	06	13	3d
Can socialize with the client	36	33	
Doesn't take himself too seriously	27	15	
Good sense of humor	25	20	
Ability to gather intelligence about an organization	07	21	6a
Knowledge of OE resource management	31	19	
Finds out what is important to others	19	17	7b
Develops and controls his visibility to the organization	14	11	
Has an ability to understand and communicate theories, principles, models, and ideas	23	14	
Practices self-discipline	17	22	2c

(Table 2.10. continued)

	<u>Mean Success</u>	<u>Mean Threshold</u>	<u>Competency</u>
(d) Characteristics rated <u>low</u> success, <u>low</u> threshold			
Builds ownership by using others' ideas	20	27	4b
Able to develop a program by combining good features from other problems	23	22	3c
Does his homework: brings more information to the situation than he actually needs	28	27	
Finds ways to measure whether or not you have had an impact on the situation	19	21	5a
Ability to instantly diagnose situations in- volving others	23	28	6d
Presses for clarity in the situation	34	29	4a
Has many projects going on at the same time that work toward the organization's goals	11	27	
Uses data (e.g., about the group or the organiza- tion) to generate group interest and direction	14	22	5a
Looks ahead to the next step in the process	21	26	
Able to plan from a goal statement to the tasks needed to accomplish the goal	22	28	
Avoids "hammers" - put solutions to all problems	36	29	
Looks for and finds opportunities to market DE	19	27	3c
Knows how far he/she can push others	11	29	7d
Ability to be directive with a client and to press for what you believe is the correct approach	15	21	5b
Ability to capitalize on and use the DE ex- perience--integrate behavior with knowledge	27	26	
Understands the technology of the system you're going into	27	29	1b
Focused on user's needs rather than one's own needs	27	26	2c
Understands the symbolism of a new organization	22	21	
Experienced with working in large complex organizational systems	29	26	
Able to obtain lasting results	25	23	2a

TABLE 2.11
Representation of Performance Characteristics by Competency

Competency Cluster	High Success Value		Low Success Value	
	High Thresh- old Value	Low Thresh- old Value	High Thresh- old Value	Low Thresh- old Value
1. Functional Knowledge				
a. Knowledge of organization effectiveness theory		1 (3%)		
b. Knowledge of the client system as an organization		2 (5%)	1 (6%)	1 (3%)
2. Strong Self-Concept				
a. Self-confidence	3 (17%)	1 (3%)	1 (6%)	
b. Low fear of rejection	4 (22%)	3 (8%)		
c. Exercises restraint	3 (17%)	5 (13%)	2 (13%)	1 (8%)
d. Perceptual objectivity			1 (6%)	
e. Accepts responsibility for failure		1 (3%)		
3. Professional Self-Image				
a. Sees self as substantive expert				
b. Understands and works to overcome the limits of own expertise		2 (5%)		
c. Develops others				
4. Develops Common Understanding				
a. Concern for clarity			1 (6%)	1 (8%)
b. Values client input	1 (6%)			1 (8%)
c. Establishes professional rapport	2 (11%)	1 (3%)		
d. Surfaces and discusses key concerns		1 (3%)		
5. Personal Influence				
a. Concern for impact		1 (3%)		2 (17%)
b. Use of unilateral power				1 (9%)
c. Creates positive image	2 (11%)	1 (3%)		
d. Uses interpersonal influence strategies	1 (6%)	1 (3%)	1 (6%)	
e. Understands own impact on others			3 (19%)	
f. Oral and written presentation skills	1 (6%)	1 (3%)		
6. Diagnostic Skills				
a. Obtains multiple perspectives on situations/problems			2 (13%)	
b. Diagnostic use of concepts				
c. Uses metaphors and analogies				
d. Rapid pattern recognition		2 (5%)		1 (8%)
7. Tactical Planning				
a. Cause and effect thinking		2 (5%)	1 (6%)	
b. Identifies key themes in data		3 (8%)	1 (6%)	
c. Identifies and uses influence patterns		2 (5%)	1 (6%)	
d. Accurately gauges the reactions of others				1 (8%)
8. Tactical Flexibility				
a. Assumes and differentiates among multiple roles				
b. Responds consciously to norms and expectations	1 (6%)			
c. Takes advantage of opportunities		3 (8%)		2 (17%)
d. Problem-focused adaptation of techniques and procedures		5 (13%)	1 (6%)	
9. Results Orientation				
a. Concern for measurable outcomes				1 (8%)
b. Time consciousness				

forth. This is exactly what was predicted on the basis of the Job Competence Assessment methodology. By generating competency themes through a comparison of superior versus average OESOs, we were able to weed out (to a great extent) those competencies possessed only by average officers. The results of the analysis of performance characteristics suggest that OESOs themselves value most of the competencies surfaced in the interview analysis, though they might have expressed their sentiments in different words and with less behavioral specificity. With the exception of characteristics having high success values and low threshold values, however, there appears to be a somewhat more unsystematic distribution of the remainder of the performance characteristics which are accounted for by the 34 competencies developed in the competency model. To put this pattern of results into greater relief, the probability was calculated that a performance characteristic classified by success/threshold value would be accounted for by a given competency cluster, controlling for the number of individual categories within a given cluster (and therefore the probability that a given cluster would be represented by performance characteristics selected at random). The results of these calculations appear in Table 2.12. This table represents the odds (to 1) that a given success/threshold classification of performance characteristic would be accounted for by each of the nine competency clusters, and the "best odds" on a cluster being related to a success/threshold value category can be determined on inspection. As expected, those characteristics to which higher than median success values were attributed, regardless of the threshold value, accounted for seven of the nine competency clusters while those performance characteristics to which lower than median success value were given accounted for only one of the nine clusters, and by relatively marginal odds. Those competency clusters which are linked to performance characteristics perceived to have high relatedness to superior performance, and yet are seen to be possessed by the average OESO, include (2) Strong Self-Concept, (4) Develops Common Understanding, and (5) Personal Influence. The competency clusters associated with performance characteristics perceived to be related to superior OESO performance and not possessed by marginal or average performers include (1) Functional Knowledge, (3) Professional Self-Image, (7) Tactical Planning, and (8) Tactical Flexibility.

Recalling the results of the job task analysis, an interesting contrast appears. One of the most important aspects of the OESO's job as related in the task analysis was evaluating the results of an intervention. Nevertheless, only two of the performance characteristics suggested by the expert panels deal with evaluation, from among the 115 characteristics generated, and those two characteristics were rated as being important neither to superior nor to minimally acceptable OESO performance.

TABLE 2.12
Relationship Between Performance Characteristics
and Competency Clusters¹

Competency Cluster	Performance Characteristics Scale Values			
	High Success Value		Low Success Value	
	High Thresh- old Value	Low Thresh- old Value	High Thresh- old Value	Low Thresh- old Value
1. Functional Knowledge	0	1.4*	0.5	0.8
2. Strong Self-Concept	3.5*	1.8	0.7	0.3
3. Professional Self-Image	0	1.0*	0	0
4. Develops Common Understanding	1.2*	0.5	0.2	0.8
5. Personal Influence	1.1*	0.6	0.6	0.8
6. Diagnostic Skills	0	0.5	0.5	0.4
7. Tactical Planning	0	1.7*	0.7	0.4
8. Tactical Flexibility	0.4	1.7*	0.2	0.8
9. Results Orientation	0	0	0	0.8*

¹Numbers in the Table represent the odds to 1 (probability ratios) of performer characteristics being associated with a competency cluster, given the number of performance characteristics categorized by success/threshold values and the number of competencies associated with a given competency cluster.

*Indicates a significant difference between superior and average performers on this competency cluster.

Both the job task analysis and the competency analysis support the presence of competencies that arise from a concern for results, whereas the perception of practicing OESOs suggests that these are not placed in high regard. Perhaps this is because outcomes of interventions are so difficult to ascertain, or possibly evaluation and measurement of outcomes are not valued within the OE community as a standard practice. Either way, the conflict in results is somewhat surprising and has strong implications for OECS regarding training areas that need to be addressed.

DISCUSSION

On the basis of an examination of the role of the OESO, from the multiple perspectives of a job task analysis, a self-report of the importance of a variety of performance characteristics, and in-depth interviews with OESOs designated by varying levels of ability, a competency model was derived to describe and explain the capabilities that distinguish the superior performer from the rest of the OESO population. The competency model contains a total of nine clusters of knowledge, skills and abilities, and other characteristics, and eight of the clusters were validated concurrently with respect to an overall criterion of job performance. The majority of individual competencies in the model distinguished the superior from the average OESO groups at statistically significant levels, but even those which did not do so were related to top performers in the expected direction. Moreover, overall competency strength, compiled as the total number of positive indicators minus the negative indicators for all the competencies in the model, was the single most powerful measure of difference, by which 89 percent of the OESOs in the interview sample (36 of 38) were correctly classified in terms of the criterion.

A key attribute of the competency model which distinguishes it from a more traditional task analysis is the fact that the competencies are not themselves behaviors, but are performer characteristics that underlie observable behaviors in the effective execution of tasks. The behavioral manifestations of a competency, referred to in this report as indicators, literally indicate the presence of a competency but do not define it. Thus, competencies are generic, i.e., they are responsible for a wide repertoire of task behavior. Competencies are therefore more powerful than task statements as concepts, since task statements are in practice too numerous to classify for purposes of training and selection. Indeed, a task-based approach demands that training constantly change as tasks change, even though the competencies related to task performance might remain stable. The behavioral indicators, nevertheless, are useful in determining whether an individual possesses a given competency, through evidence gathered in psychological assessment, performance appraisal, performance observation, and in interviews. The indicators are therefore usable as guides to selection as well as to training effectiveness.

Regarding the competency model itself, it should be noted that our characterization of the effective OESO is based on an

ideal. Through the discussion of individual competencies that preceded this section, it might be assumed that many of the OESOs possessed all of the competencies; in fact, though many of them did possess between 50 percent and 75 percent of the competencies, no one person possessed all of them. The conclusion we draw from this is that there are more ways than one to be a good organizational effectiveness consultant, and more than one appropriate combination of skills, abilities, and characteristics. The people in our sample differed significantly in style and in their approach to problems, a fact that the competencies obscure. But as the examples given in the previous section illustrate, there are many alternative ways in which a single competency can be manifested. Furthermore, it is the competency profile, not just the sum of all competencies, that makes the most important contribution to overall performance. Nearly all members of the superior group possessed at least one competency within most of the competency clusters, while few of the members of the control group did so. Thus, the findings of the present study allow for the consideration of balance in understanding individual effective performance in the OESO's role.

Relationship of the Model to the Literature

The competencies in the present model were empirically determined; that is, they were generated solely on the basis of the reported thoughts and actions of OESO's, without reference to the vast body of literature on organizational consulting skills. How, then, do the present results relate to the previous research on consultant competencies? The discussion which follows will integrate the present findings into the review of the literature by considering the relationship of the competency model to previously established consultancy skill categories and to the steps in the organizational effectiveness consulting process.

In Chapter 1 of this report, studies on consultant competencies were arranged in a taxonomy that included four broad skill areas (see Table 1.3):

(1) Rapport-building skills. These skills are particularly important to establishing and maintaining a working relationship with the client and developing the consultant contract.

(2) Diagnostic skills. These skills relate to abilities required to generate, collect, and analyze information about a client system, and include problem identification.

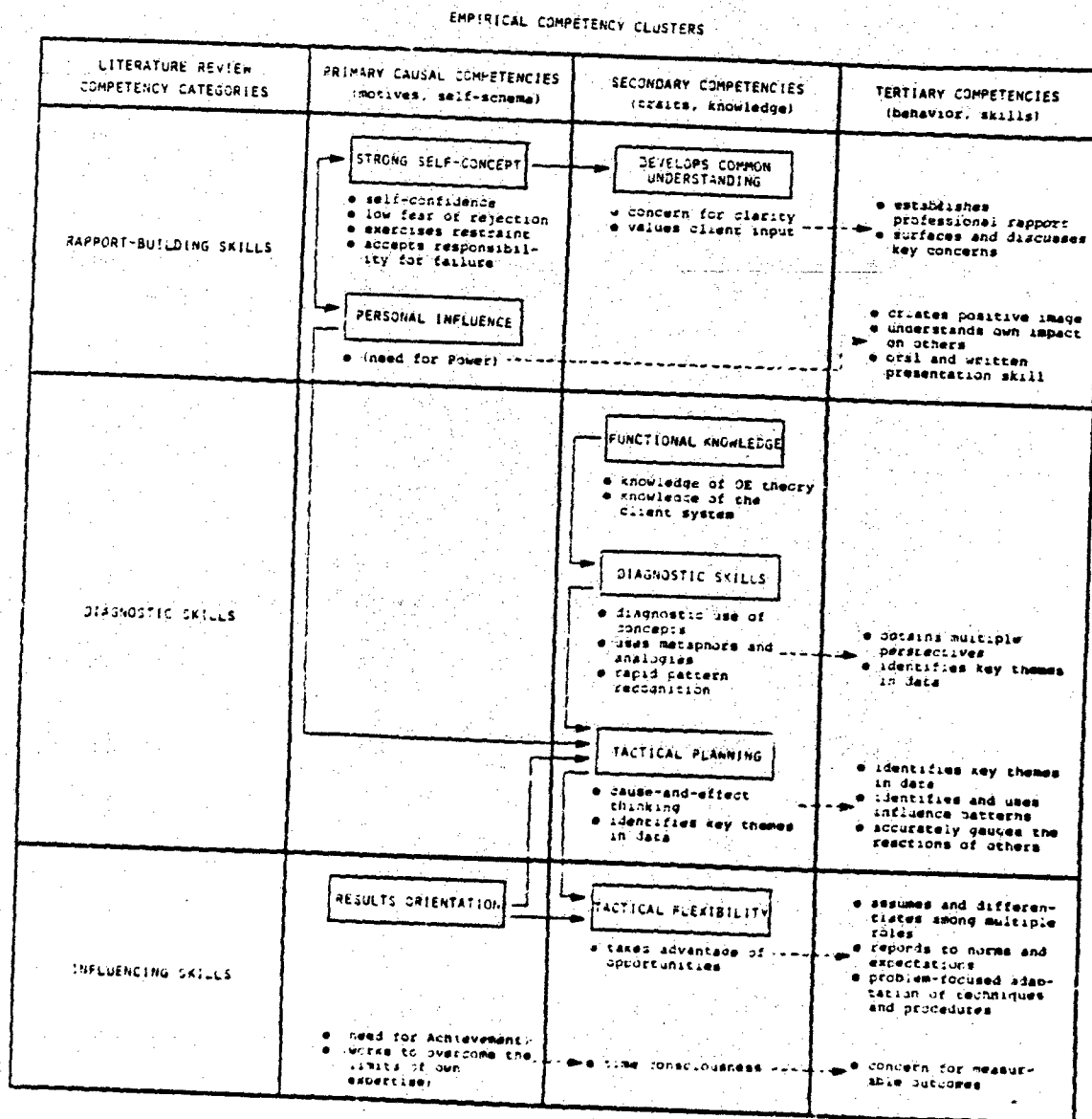
(3) Influence skills. These skills involve the facilitation of change through transfer of ownership and skill to the client, and include aspects of planning, goal setting, and implementation.

(4) Executive/managerial skills. These skills relate to project and consultant team management. Executive and managerial skills were less frequently cited in the literature, and for the present purposes they are omitted from this discussion since the results of the present study are well captured by the other three skill areas outlined in Table 1.3.

Table 2.13 provides a multilevel integration of the present findings with the taxonomy of competency categories taken from the literature review. At one level of analysis, this table shows the association of competency clusters with the taxonomy categories. Rapport-building skills are associated with strong self-concept, develops common understanding, and personal influence; diagnostic skills include functional knowledge, diagnostic skills, and tactical planning; and influencing skills incorporate tactical flexibility and results orientation. In this table, the specific competencies under each cluster that come into play are also listed, and these may be compared with the individual skills listed in Table 1.3.

This level of comparison between the established literature and the present study deserves comment on a number of points. First, the results summarized in the competency model are much more behaviorally specific than the descriptions found in the literature. Broad categories such as "interpersonal skills" and even more specific terms such as "genuineness" are defined by the competency model as specific activities in which effective OESOs engage, such as surfaces and discusses key concerns and values client input. Second, some of the consultant skill areas suggested in the literature do not stand up to a performance criterion-based analysis of OESOs. For example, no evidence of skills related to effective consulting, such as "nonpossessive warmth" and "unconditional positive regard," were found to distinguish effective OESOs in the job. Here is a case of a situation where theory, left unchecked, might result in problems for an organizational consultant in the Army. Outstanding OESOs are more "problem focused" than they are "process focused," where for counselors and therapists the opposite pattern may be true. Finally, the competency model is relevant to the entire process of consulting in the Army as an organization, not simply to the performance of specific tasks that different persons in consulting roles are called on to perform. The only characteristics that appear in the model are those that apply to a wide variety of situations which may share only a few specific tasks (such as administering the

TABLE 2.13
Hierarchical Organization of Competencies in
Developmental Sequence*



* LEGEND
 x → y = x enhances y
 x --- y = x is related to y

GOQ), and which contribute significantly to outstanding performance. The competencies taken from the literature review, by contrast, tend toward normative descriptions of role incumbents rather than descriptions of outstanding vs. average performers in a variety of task situations.

At a wholly different level of analysis, Table 2.13 provides some of the theoretical linkages between individual competencies that indicate their developmental nature. It illustrates the relationships among motives, self-schema, traits, knowledge, and behaviors in a way that underscores the causal relationship among competencies within individuals. For example, the clusters Strong Self-concept, Personal Influence, and Results Orientation are based largely in motives and self-schema, and are the drivers for traits, knowledge acquisition, and skills. Personal Influence is theoretically grounded in the need for Power (Winter, 1973), and drives skill-based influencing, often through intermediary competency clusters such as Tactical Planning and Tactical Flexibility. Results Orientation, by contrast, is related to the motive of need for achievement (McClelland et al., 1953), and enhances influencing skills through competency clusters such as Tactical Planning and Tactical Flexibility. One of the suggestions offered by this table is that the competency cluster Personal Influence pervades all of the three critical skill areas derived through the literature review. Though it comes into play most directly as a rapport-building skill, in which initial contracting is accomplished, Personal Influence drives aspects of diagnosis (e.g., identifies and uses influence networks) and influencing the client to assume ownership of the intervention and carry it out (e.g., takes advantage of opportunities), as well as to evaluate its impact (driven also by concern for measurable outcomes).

The competencies in the present model are generic, which means that they apply to a variety of different situations, often in different manifestations. They also apply to different stages in the OE consulting process in complex ways, as there is no perfect correspondence between individual competency clusters and steps in the OE process. Nevertheless, we can construct a map to signify at what stages in the process a given competency is likely to emerge, and what is more important, what competencies will be needed together at a particular step in a client-system intervention.

Table 2.14 provides an overlay of the OESO competency clusters on the phase of the OE process, and shows where each cluster was found to enhance the success of each phase. The phases of the process are those discussed in Chapter 1 in the text accompanying Table 1.15. Here it was noted that most

TABLE 2.14

Application of Competencies to Phases of the OE Process

Literature Review Competency Categories	Empirical Competency Clusters	Phases of the OE Process				
		Entry/ Contracting	Assessment/ Diagnosis	Planning	Implement- ation	Evaluation
Support- Building Skills	Strong Self- Concept	X			X	
	Develops Common Understanding	X	X	X		
	Personal Influence	X		X	X	
Diagnostic Skills	Functional Knowledge	X	X	X	X	X
	Diagnostic Skills	X	X			X
	Tactical Planning		X	X	X	
Influencing Skills	Tactical Flexibility	X		X	X	
	Results Orientation	X		X	X	X

theoretical models of the OE consulting process consist of the following phases:

(1) Entry or initial contact phase in which the consultant and client meet and agree on (contract for) the objectives and tasks to be undertaken in the intervention;

(2) Assessment or Diagnosis phase, in which information is collected and analysed to provide some idea of the client's problems or needs;

(3) Planning or problem-solving phase, in which the client and the consultant seek out and evaluate potential solutions to identified problems and then plan and set goals for the implementation of solutions;

(4) Implementation or action phase, in which the client implements the planned solutions;

(5) Evaluation or follow-up phase, in which the consultant and client determines the efforts of the intervention as compared with the initial objectives.

What is immediately apparent in Table 2.14 is that most phases call upon different combinations of competencies, and that all steps require competencies from at least three clusters. This table, in particular, emphasizes the crucial step of entry and contracting, which is represented by seven out of the eight competency clusters that discriminated the successful from the less successful OESOs. It also underscores the consistent importance of functional knowledge in all phases of the process, as well as the multiple application of each of the other competency clusters to more than one phase.

In summary, the analysis presented in Tables 2.13 and 2.14 provides a functional description of the empirical competency model, relative to the established literature on organizational effectiveness consultant characteristics and the OE process. As will be discussed in greater detail in the next section and in Chapter 3 of this report, this synthesis is a useful framework for conceptualizing how a program of instruction for OESOs might be developed and implemented.

Recommendations for Training

One of the objectives of this report is to specify those competencies which are important to consider by OECS in the training of OESOs. The value of training, however, is not just to develop those capabilities that distinguish superior from average OESOs, but to ensure that those capabilities needed by

many or most OESOs in the field are also possessed by new OECS graduates. Training value, then, is a combination of relatedness to outstanding performance as well as the total proportion of incumbent OESOs who possess a competency. An index of overall importance to all OESOs in the field, importance value, was therefore computed to summarize the importance attached to a competency by its frequency of possession, weighted by the degree to which superior performers tend to possess it in greater proportion to their average counterparts:

$$\text{Importance value} = \frac{\%(A) + \%(S) + (\%(A) - \%(S))^2 / (\%(A) + \%(S))}{2}$$

where %(A) and %(S) are the percentages of average and superior performers, respectively, who possess the competency in any degree. By this formula, an importance value of 100 would obtain either if all OESOs possessed a competency or if only superior OESOs did so. An importance value of 50, taken as an arbitrary cutoff point for determining importance to training, would at least account for the possession of a competency by 50 percent of the OESOs in the sample, even if the competency did not discriminate between superior and average performers.

Table 2.15 summarizes the results of these calculations, along with the results of the statistical analyses on the variable of competency strength; importance value for each competency cluster, however, was determined on the mean importance values calculated for the competencies within the cluster. Training value, as noted in this table, was calculated as a cumulative effect of statistical significance of difference and importance value. Indications of double-plus (++) or plus (+) suggest that a focus on training for these competencies and competency clusters is justified. A total of 22 of the 34 competencies (65 percent) and eight of the clusters are thereby identified as potential training objectives.

From a practical perspective, some competencies are easier to develop than others. In particular, those competencies that reside primarily at the knowledge and skill level (e.g., knowledge of the client system and oral and written presentation skills) can be developed more readily. However, a number of the competencies in the area of intellectual skill (e.g., diagnostic use of concepts) are somewhat harder to develop, while competencies which carry with them a component of trait, motive, or self-concept (e.g., self-confidence and cause-and-effect thinking) are the most difficult to develop. The question that arises, and one which OECS and the Army must consider, is whether selection has a role in the OESO training program, either at entry or at the point of certification. Therefore, in Table 2.15, the individual competencies are also classified according to their potential for development. This classification takes its lead from Table 2.13, which placed the competency

TABLE 2.15
Training Value of OESC Competencies

Competency Cluster	Competency Strength	Importance Value (IV)	Training Value*	Development Potential**
1. Functional Knowledge				
a. Knowledge of organization effectiveness theory	p<.001	61	++	H
b. Knowledge of the client system as an organization	p<.01 (p<.001)	57 (59)	++ (++)	H
Overall:				
2. Strong Self-Concept				
a. Self-confidence	p<.01	57	++	L
b. Low fear of rejection		75	+	L
c. Exercises restraint		11	0	L
d. Perceptual objectivity	p<.001	32	+	M
e. Accepts responsibility for failure	p<.01 (p<.001)	49 (45)	++ (+)	M
Overall:				
3. Professional Self-Image				
a. Sees self as substantive expert	p<.10	23	0	M
b. Understands and works to overcome the limits of own expertise	p<.05	26	0	M
c. Develops others		29	0	M
Overall:	(p<.10)	(26)	(0)	
4. Develops Common Understanding				
a. Concern for clarity		70	+	M
b. Values client input	p<.10	40	+	M
c. Establishes professional rapport		38	0	H
d. Surfaces and discusses key concerns	p<.1	45	0	H
Overall:	(p<.10)	(53)	(++)	
5. Personal Influence				
a. Concern for impact		36	0	L
b. Use of unilateral power	p<.10	35	0	L
c. Creates positive image	p<.01	59	++	H
d. Uses interpersonal influence strategies	p<.05	57	++	H
e. Understands own impact on others		36	0	H
f. Oral and written presentation skills	p<.10 (p<.01)	12 (42)	0 (+)	H
Overall:				
6. Diagnostic Skills				
a. Obtains multiple perspectives on situations/problems	p<.05	60	++	H
b. Diagnostic use of concepts		41	0	M
c. Uses metaphors and analogies	p<.05	46	+	M
d. Rapid pattern recognition	p<.01	14	+	L
Overall:	(p<.01)	(48)	(++)	
7. Tactical Planning				
a. Cause and effect thinking		53	+	M
b. Identifies key themes in data	p<.01	67	++	L
c. Identifies and uses influence patterns	p<.01	57	++	M
d. Accurately gauges the reactions of others	p<.01 (p<.001)	49 (56)	++ (++)	M
Overall:				
8. Tactical Flexibility				
a. Assumes and differentiates among multiple roles	p<.05	49	+	M
b. Responds consciously to norms and expectations	p<.10	36	0	H
c. Takes advantage of opportunities	p<.05	65	++	M
d. Problem-focused adaptation of techniques and procedures		50	+	M
Overall:	(p<.01)	(50)	(++)	
9. Results Orientation				
a. Concern for measurable outcomes	p<.001	75	++	M
b. Time consciousness	p<.05	70	++	M
Overall:	(p<.001)	(72)	(++)	

*Where: p<.01=2, p<.05=1, and p<.05=0; and IV(60)=1, IV(50)=1, and IV(50)=0
Training Value: ++ if sum p(IV) = 3 or 4
+ if sum p(IV) = 1 or 2
0 if sum p(IV) = 0
**High: High; Low: Low (see text)

clusters in developmental progression, and should be considered as operating hypotheses rather than the conclusions of the present research. Low potential (L) signifies that a competency is especially difficult to develop and might best be considered as a criterion for selection; medium potential (M) signifies that a competency can be enhanced given that a basic foundation in the competency is already in place; and high potential (H) signifies that a competency can be developed readily in the majority of OESO candidates.

Table 2.16 provides a distillation of the key competencies which were found to have value for training based on the data from Table 2.13, categorized by our view as to whether they should be considered for selection or training. A total of 18 competencies, distributed among each of the eight competency clusters that showed stable significance, have thereby been narrowed down as training objectives for OECS, and four competencies, distributed among three of the clusters, are recommended as selection criteria. The competencies in this table are thus the "core" of the OESO competency model. The remainder of the competencies may later be found to be more important than the current results indicate, and further attempts at validation are recommended.

In summary, the competency model of the OESO is a management tool for the future. It provides a guide to a current understanding of the effective organizational effectiveness consultant in the Army. This guide, besides its application in defining training priorities at OECS, can be used to track performance in the classroom as well as later in the field. The performance indicators associated with key competencies can be used by clients to evaluate OESO capabilities and by OESO themselves in working to develop each other as members of a team. It may also be used by the Army to provide an early identification of OESO talent prior to a candidate's entrance into the OE program of instruction, thereby eliminating a part of the need for screening of candidates at program entry. Finally, the applicability of the competency model to on-line performance assessment and to assessment centers is direct and specific. The competencies can be substituted for the often ad hoc dimensions used to measure an OESO's performance and potential, and the competency indicators provide behaviorally specific, reliable, and valid measures of the demonstration (or lack) of individual competencies. Nevertheless, a competency model is only a photographic representation of the superior performer; it does not tell us how the superior performer got that way. Therefore, the informed judgment of experts in the field of adult learning, particularly including members of the OECS staff who have had substantial contact with the training experience, will be needed to guide and direct the translation of the competency model to a workable and potent professional development plan.

TABLE 2.16

OESO Competencies Recommended for Selection and Training

<u>Competency Clusters</u>	<u>Selection</u>	<u>Training</u>
1. Functional Knowledge:		<ul style="list-style-type: none"> a. Knowledge of organization effectiveness theory b. Knowledge of the client system as an organization
2. Strong Self-Concept:	<ul style="list-style-type: none"> a. Self-confidence b. Low fear of rejection 	<ul style="list-style-type: none"> d. Perceptual objectivity e. Accepts responsibility for failure
3. Professional Self-Image:		<ul style="list-style-type: none"> a. Sees self as substantive expert b. Understands and works to overcome the limits of own expertise
4. Develops Common Understanding:		<ul style="list-style-type: none"> a. Concern for clarity b. Values client input
5. Personal Influence:		<ul style="list-style-type: none"> c. Creates positive image d. Uses interpersonal influence strategies
6. Diagnostic Skills:	d. Rapid pattern recognition	<ul style="list-style-type: none"> a. Obtains multiple perspectives on situations/problems c. Uses metaphors and analogies
7. Tactical Planning:	b. Identifies key themes in data	<ul style="list-style-type: none"> a. Cause-and-effect thinking c. Identifies and uses influence patterns d. Accurately gauges the reactions of others
8. Tactical Flexibility:		<ul style="list-style-type: none"> a. Assumes and differentiates among multiple roles c. Takes advantage of opportunities d. Problem-focused adaptation of techniques and procedures
9. Results Orientation:		<ul style="list-style-type: none"> a. Concern for measurable outcomes b. Time consciousness

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Chapter 3:

TRAINING APPLICATIONS OF THE
ARMY ORGANIZATIONAL EFFECTIVENESS STAFF OFFICER
COMPETENCY MODEL

by

Lawrence A. Rossini

INTRODUCTION

The purpose of this chapter is to provide specific recommendations for revising the Organizational Effectiveness Staff Officer curriculum so that it can more explicitly train officers in the competencies determined by the present research to make a difference in effective field performance.

In preparing for this report, Lawrence Rossini and Robert Ryan, of McBer and Company, who have experience in the design, development, and implementation of competency-based training programs, visited the Organizational Effectiveness Center and School (OECs) to work with its directorates in reviewing the present curriculum. The objectives of this review were to examine the present program of instruction in light of the OESO competency model, to judge the extent to which the present curriculum addresses these competencies, and to determine initial goals for revision that the OECs might entertain in targeting its training more explicitly to competency objectives.

The OESO competency model, described in Chapter 2, identifies the knowledge, skills, traits, and other personal characteristics that are associated with effective performance in the field. The model also describes these competencies, assigning a value to each one in order for the course designers to have a priority listing to help them decide which competencies deserve the most attention in training (Table 2.15). Judgments are also offered in the report about the development potential of each competency; that is, how easy or difficult it is to teach that particular competency. Additionally, Chapter 2 provides a priority listing of job tasks that staff officers in the field identified as important in carrying out their job. This expert view of the importance of particular functions can assist course designers in deciding which job functions are most important to address in training, based on the considerations made by field personnel who are currently performing these functions.

From these data contained in the competency model, it was possible to review the OESO curriculum and judge:

- (1) the extent to which the terminal and intermediate learning objectives are stated in terms that describe important functions, knowledge, skills, traits, and other personal characteristics that lead to effective field performance;

- (2) the extent to which the content and knowledge tests, and proficiency criteria used to measure classroom performance and field training performance, are specified according to actual demonstrations of effective field performance; and
- (3) the extent to which the instructional methods and the training materials that support them develop and strengthen the competencies that drive effective field performance.

Representatives from the various directorates and from McBer and Company reviewed the curriculum and determined preliminary revision directions for the curriculum. The recommendations proposed in this report are the result of that collaborative process.

TRAINING DESIGN FOR COMPETENCY-BASED LEARNING

McBer and Company's approach to reviewing the curriculum begins with an explicit statement of the course-design principles and procedures that guide its own work in the development of competency-based training programs. These principles and procedures were presented to the directorate representatives, and are outlined here as a preface to the recommendations themselves.

Course Objectives

In competency-based training, both the terminal and the intermediate learning objectives are the competencies themselves. Because the competency model describes specific personal characteristics that are related to effective field performance, they lend themselves to immediate use as statements of learning and training results. The most direct approach to casting terminal and intermediate learning objectives is to view the major competency clusters as the terminal learning objectives and the individual competencies that compose those clusters as the intermediate learning objectives.

Often there are technical requirements that curriculum developers must adhere to, such as following an instructional system design or expressing outcomes in behaviorally observable terms (Mager, 1962). While a sound educational technology is important in developing curricula, it should be noted that in competency-based training not all competencies are behaviors, in the strictly observable sense. Additionally, it must be noted that there is a difference between on-the-job manifestations of a given competency and classroom manifestations of that competency.

Since course objectives are ordinarily required to be set in behavioral terms, developers are consequently faced with the challenge of identifying certain nonobservable behaviors that are indicative of the underlying competency that needs to be taught. For example, a "nonbehavioral" competency might be cause-and-effect thinking, of which a behavioral indicator might be the making of a series of inferential "if X, then Y" statements. The challenge is twofold: first, to ascertain that the behavior actually is an indicator of the underlying competency, and second, to ascertain that the behaviors selected do not exclude other behaviors that might also be indicators of that competency.

In addition to this distinction in competency-based training, course designers for these training programs recognize that there are other differences between this and other types of training, such as technical training. In technical training, the ability to "solder wire A to terminal A" can be demonstrated in the classroom in precisely the same way as it is demonstrated on the job. But the classroom manifestations of a competency such as concern for impact are quite different from their field manifestations. Here course developers are faced with the challenge of setting training objectives that are realistic for students in a classroom situation while at the same time assuring that if the objective is met during training, competent performance will ensue.

Finally, the process of setting objectives is integral to the processes of developing classroom training and assessment procedures. The competencies provide the conceptual foundation for all three of these activities. Producing these three sets of materials is a collaborative and mutually dependent effort, since the results must conform to a common set of criteria.

Tests and Proficiency Measures

In competency-based training, tests and proficiency criteria are used to measure competent performance (Russell & Lawson, 1979). That is, they first describe the classroom behaviors that indicate competent performance, and then provide a way to observe whether this competency is present, how often and under what circumstances it occurs, and if it is appropriately demonstrated in given situations. Such free-response, or "operant," measures offer significant advantages in competency-based training:

- They are measures by which an individual's performance can be assessed against a single standard of performance, described by the training objective.
- They provide a common language for students and instructors, ensuring that all are seeking a common goal. In addition, the development of this common language itself becomes a potent training device.
- They simplify the process of giving performance-related feedback to students, and provide students with a ready mechanism to assess their own performance and set improvement goals.

- Because they are classroom-specific indicators of effective performance, these measures have validity in the training situation, both with respect to developing skills that relate to on-the-job performance and with respect to "face validity" for students, thus generating less resistance than other forms of testing.

The Design of Instructional Methods

In competency-based training programs, the development of training activities and their supporting materials is based on known principles of adult learning and change, derived from theory and research in adult education and the psychology of personality change. These principles serve as the foundation for the sequencing of competency-based training, for the selection of the content of the instructional materials, and for the role the instructor plays in facilitating the learning process, as well as the skills instructors need to fill that role. The principles employed are the following:

1. Adult learners have characteristics that differ from young learners, and when these characteristics are respected, their learning is maximized (Knowles, 1972; Houle, 1972; Ingalls & Aceri, 1972).

- Adults learn best when they have control over their learning: choosing and setting their own goals, based on their experience and needs; choosing how to use information about themselves in the self-assessment and goal-setting process; and diagnosing their own learning needs.
- Adults have a focus on a near time frame: ideas and concepts need to be applied immediately to real-life concerns and problems generated by students, and skills need to be practiced and applied within the training setting.
- Adults have their minds fixed on the role and tasks for which they are receiving the training: skills and knowledge need to be linked to those on-the-job situations that the adult will soon encounter.
- Adults want their previous experience to be counted as valuable, even when their new role is quite different; at the same time, they are eager to refine their existing skills and learn new ones within the training situation. Ideas, experiences, and innovative approaches will be brought to training by adults, accompanied by a need to share them with instructors and other students.

2. Instruction of adults is most effective when it asks them to set goals for change (Kolb & Boyatzis, 1970).

- Adults change when they feel some discrepancy between the way they really are and the way they would like to be. This discrepancy creates a need, a desire, and a commitment to change. When the discrepancy is moderate in size--that is, not so large that they give up, nor so small that they are not motivated to change--they experience a challenge to improve.
- Adults change when they feel the proposed changes are in their own interest and when they have some say in the change process. Adults need to identify their own goals, and to be responsible for and in control of attaining them.
- Adults are more likely to change the more specifically their goals are set. Stating goals in ways that can be measured, and setting them with a time limit, is an effective guarantee that they will be attained. The probability of attaining the goal is also increased when adults are able to monitor their own progress.
- The more feedback adults receive on their progress in attaining a goal, the more likely they are to attain it. Feedback guides, motivates, and rewards people who are trying to change; their commitment to change is bolstered when they see they are making progress.

3. Progress toward change goals can be facilitated by the creation of a psychologically safe climate (McClelland, 1965). Although they may not articulate it, adults learn best in a climate in which there is genuine interest in their growth, a sense of trust among class members and instructors, enabling them to experiment with new behaviors and new ideas, and respect for their various points of view. In addition, a climate is psychologically safe for adults when the class views itself as a resource for solving problems, addressing issues, and jointly initiating change.

4. Adults gain the most when the learning is primarily experiential, rather than purely conceptual, based on didactic teaching (Rogers, 1969; Knowles, 1978). Classroom activities based on participation--such as role playing, discussion, and problem solving--allow for personal involvement on the levels of behavior and emotion, as well as on the intellectual level. The result is that learning occurs on all levels.

5. Adults bring to the learning situation differences in learning styles (Kolb, 1974), so that a variety of methods and

techniques employed in the curriculum will maximize the possibility of individuals' learning in a style that is fitting for them. Some of the different styles are:

- Concrete experience: learning things as a result of capturing the "feeling" of something new
- Reflective observation: learning by standing back and thinking about something new
- Abstract conceptualization: analyzing or creating models that explain something new
- Active experimentation: a hands-on or shirtsleeve approach--getting in and trying the new thing out

6. Competencies are acquired through a learning process of five discrete developmental steps (adapted from McClelland, 1965). The competency-acquisition process is the most effective guide for the selection and sequencing of activities in competency-based training modules. The steps are:

(1) Recognition of the competency. This first step provides students with an opportunity to form clear concepts of the knowledge, skills, attitudes, and values that make up the competency, as demonstrated and expressed in specific actions and thoughts by the effective performers. These actions and thoughts are in contrast with those that are demonstrated and expressed by less effective performers. Many aspects of each concept are not new to students, but the organization of the concept and its label most likely are new. By identifying the effective use of the competencies in case studies or other "recognition formats," students can link the competency label and definition with the related thoughts and behaviors they have observed in themselves and in others.

(2) Understanding of the competency. This step provides students with an opportunity to understand the competency's component knowledge, skills, attitudes, and values by incorporating these concepts into their ways of thinking. It is important for students to be able to expand their understanding of the competency to include background information and conceptual support, and they should also explore the impact of the use of the competency in specific situations. This provides students with a framework that organizes their previously scattered thoughts around the competency. Such integration of the old and new thoughts provides a deeper understanding of the competency. Research evidence supports the importance of providing

students with the opportunity to develop this level of understanding before expecting them to demonstrate the competency. Students can then relate their new understanding to their everyday lives, a process that gives them practice in thinking in terms of the competency. While at first they do this consciously, the pattern eventually becomes automatic.

(3) Self-assessment in relation to the competency. This step provides students with an opportunity to recognize the relevance of the competency's various skills, attitudes, and values to their own jobs, careers, or life goals, and to identify specific areas for self-improvement. Now that students have a clear image of the competency and can link that image to its label and behaviors, students begin to compare their own behaviors and thoughts with those of the competency. Research indicates that it is important for students to understand the role that the competency plays in their jobs, careers, or life goals. By helping students gain information about the levels at which they are already performing and the levels required for their job, the role and rationale of the competency are established.

(4) Skill development of the competency. This step flows directly from the basic assumptions about adults and learning. Students are provided with an opportunity for self-development by practicing those skills and attitudes identified for self-improvement in a supportive atmosphere, free from distractions. They experience directly and practice the new behaviors, for which they have established a firm foundation in steps one and two, recognition and understanding. This progression increases the probability that students will develop and use the competency. Feedback and a positive learning climate are critical at this point, since the real/ideal discrepancy is continually reassessed, in both formal and informal ways, providing the link between the competency label and the actions and thoughts that it describes.

(5) Application of the competency. This final step in competency acquisition involves the students' ability to integrate what they have learned. Students are provided with an opportunity to employ their new knowledge and new or improved skills and attitudes in both classroom and possible job situations. Classroom activities require students to differentiate the competencies, to assess a situation, and to decide which competencies are appropriate to apply in the situation; these activities provide the link between classroom learning and on-the-job performance. They also help demonstrate the degree to which the compe-

tencies have been integrated into the student's repertoire of thoughts and behaviors. These thoughts and behaviors should now be part of the range of skills, knowledge, and attitudes students can use on the job to complete their tasks effectively. By thus completing the learning cycle, students are more likely to perform effectively later.

The review of the OESO course was undertaken with these principles and procedures in mind. Also related to the review of the course is the substance of the OESO competency model presented in Chapter 2, which potentially affects the design of the course.

THE OESO COMPETENCY MODEL: APPLICATIONS FOR TRAINING

The OESO competency model contains information that can be used in the design of course revisions. The information can affect 1) the overall training objective, 2) the specific terminal and intermediate learning objectives, 3) proficiency criteria and content tests, and 4) the instructional methods.

The purpose of this section is to provide a "Course Developer's Guide" to the report, so that representatives from the directorates can more easily turn to the sections of the report that are most useful for the revision of the course.

1. Overall Training Objective. The purpose of training is to teach someone what to do, how to do it, and how to do it effectively. Training combines the presentation of relevant knowledge and information with the teaching of practical skills and personal characteristics that together contribute to effective performance. The Organizational Effectiveness Staff Officer is a professional in the field of human resource development, specially equipped to assist clients in adapting their organizations and fitting their personnel to the operational and stratetic needs being faced in the present and projected into the future.

As do most professionals, OESOs stand apart from the individuals and units they serve. Consequently every application of their expertise requires the repetition of certain steps which are formalized, and well understood in the field: entry into the client organization, contracting for the work, assessment or diagnosis of the need, planning the developmental activity, evaluating its effectiveness, and follow-up of maintenance work with the client.

Like every profession, the practice of organizational effectiveness requires the mastery of fundamental knowledge about a system's workings, and the facility to apply particular techniques and procedures to bring about desired changes in a particular state of affairs. Knowledge is constantly being advanced by new theory and research, and practice is continually improving through the development of new intervention techniques and strategies. The academic environment that trains new professionals is usually characterized not only by the training function, but also by research, development, and professional association with others in the field, which in turn have an impact on the training function.

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A growing concern in professional education is the need to train beyond fundamental knowledge and practice, and to produce professionals who can not only perform, but perform with a high degree of capability. In order to answer this concern, and to adjust the training program to accommodate the need, it is necessary to understand what represents "capability" in a particular role. The OESO competency model provides that understanding.

The competency model describes the skills, knowledge, traits, and other personal characteristics that are related to effective performance of the OESO's job. This makes it possible to include competency training in the overall training objective of the course. Other elements of the overall training objective, such as specific content knowledge and job functions, can now be combined with a "competency-training component"--in order to train the competencies that are associated with effective field performance.

In the competency model described in Chapter 2, the individual competencies are factored together, clustered, and labeled; they were described, with examples, in Table 2.5. A maximally effective conservatively designed training program would have as its overall objective to train students in each competency in every category related to the job functions so that upon completion of the course each student would have attained an ideal of exercising all the competencies in various job situations. But because such a program would be both lengthy and costly--and would reach a point of diminishing returns in its training impact long before a student had completed it--the competencies have been assigned values that allow course designers to determine which competencies are important to include in an efficient and optimally effective training program. Three values were assigned to each competency: importance value, a measure that determines how many OESOs in the field share a particular competency and allows for a competency to be included if it is held by a significant number of combined superior and average OESOs; training value, a measure of a competency's importance and strength, which allows a competency to be included if it not only occurs among a significant number of OESOs but also carries the guarantee that it is related to outstanding performance; and development potential, a judgment of the relative ease or difficulty found in teaching that particular competency. These data were shown in Table 2.15.

In determining which competencies to teach, then, each competency was rated according to these three values. The result of applying these values tells us that the 18 competencies listed in Table 3.1 are important to include in an

TABLE 3.1

OESO Competencies Having High Training Potential

<u>COMPETENCY CLUSTER</u>	<u>COMPETENCIES FOR TRAINING</u>
1. Functional Knowledge	a. <u>knowledge of OE theory</u> b. <u>knowledge of the client system as an organization</u>
2. Strong Self-concept	d. <u>perceptual object vity</u> e. <u>accepts responsibility for failure</u>
3. Professional Self-image*	
4. Develops Common Understanding	a. <u>concern for clarity</u> b. <u>values client contribution</u>
5. Personal Influence	c. <u>creates positive image</u> d. <u>uses interpersonal influence strategies</u>
6. Diagnostic Skills	a. <u>obtains multiple perspectives on situations and problems</u> c. <u>uses metaphors and analogies</u>
7. Tactical Planning	a. <u>cause-and-effect thinking</u> c. <u>identifies and uses influence patterns</u> d. <u>accurately gauges the reactions of others</u>

(Table 3.1, continued)

- | | |
|-------------------------|---|
| 8. Tactical Flexibility | a. <u>assumes, and differentiates among, multiple roles</u> |
| | c. <u>takes advantage of opportunities</u> |
| | d. <u>problem-focused adaptation of techniques and procedures</u> |
| 9. Results Orientation | a. <u>concern for measurable outcomes</u> |
| | b. <u>time consciousness</u> |

* Cluster did not validate in the OESO competency study.

overall training objective, an objective that is defined as ensuring that those capabilities needed by many or most OESOs in the field are also possessed by new OESO graduates.¹

The Job Task Analysis reported in Chapter 2 provided a priority listing and clustering of functions performed by OESOs. The key functions do not differ in substance from the established steps for an OE intervention: entry and contracting, assessment and diagnosis, planning, implementation (managing the interactive process), and evaluation. For review, Table 3.2 provides a slightly simplified version of Table 2.14 for reference, to show which competency clusters are important in performing tasks in different phases of the OE process.

To refer back to Table 2.13, the developmental sequence of competencies outlined therein provides a ready, albeit abstract, model for designers to use in determining the overall shape of the OESO course. For example, the well-trained OESO would be able to perform the steps of an intervention, having demonstrated a grasp of all of the practicalities, techniques, and ordering of events in each function. Beyond that, the OESO would have had access to training in the competencies that underlie those activities, in order to be able to conduct them effectively. Thus, the training modules having to do with entry and contracting would ideally contain lessons about behaviors and skills related to entry (developing the relationship, finding out the felt problems, making a presentation, etc.), about traits and knowledge (developing empathy, being concerned for clarity), and more deeply about motives and self-schema (wanting to make an impact; feeling unsure of oneself).

The question of "trainability" or "development potential" of a competency comes up frequently in the design process. A competency's "trainability" is difficult to determine in any absolute sense since it depends on many variables: the designer's strengths in developing modules for training (some are good at practical, "nuts and bolts" design, others are good at designing psychological learning modules); the readiness of trainers to teach material (a poor design can be "rescued" by a good trainer; a good design can fall flat if the trainer is unprepared); and, of course, the psychological level of the competenc. (it is far more difficult to train a person out of a fear of rejection than into an ability to interpret GOQ print-outs). Designers need to take all of these factors into consideration in making up the course's overall training objective,

¹ The cluster Professional Self-image has low importance and training values, and is thus omitted from this list.

TABLE 3.2

Application of Competencies to Phases of the OE Process

Empirical Competency Clusters	Phases of the OE Process			
	Entry/ Contracting	Assessment/ Diagnosis	Planning	Implemen- tation
Strong Self- Concept	X			X
Develops Common Understanding	X	X	X	
Personal Influence	X		X	X
Functional Knowledge	X	X	X	X
Diagnostic Skills	X	X		X
Tactical Planning		X	X	X
Tactical Flexibility	X		X	
Results Orientation	X		X	X

guided by a fundamental agreement on how much the course will train prospective OESOs "how to do the job" (functions) and how much it will train them how to do it well (competencies).

To summarize, then, and to interpret the report's data for training purposes:

A. Of the 34 competencies identified in 9 clusters, 18 competencies in 8 of the clusters are reasonable to consider in framing an overall competency-based training objective.

B. According to the hypothetical model of how these competency clusters relate,

-- At the entry and contractual stages of an intervention, a Strong Self-concept will enable an OESO to Develop a Common Understanding with the client. Motivated by a desire for Personal Influence, the OESO will behave in ways that make these stages proceed effectively.

-- At the assessment and diagnosis stages, as well as in the planning stage, Functional Knowledge, Diagnostic Skills, and Tactical Planning are key conceptual abilities that have made a difference. Tactical Planning is driven by a desire for Personal Influence, as well as Results Orientation.

-- Implementation, evaluation, follow-up, and maintenance are enhanced by Tactical Flexibility, which itself is driven by an OESO's Results Orientation.

C. Although the model hypothesizes how these competencies and functions "live together" in real life, it does not necessarily indicate that they are acquired in one particular order or relationship to one another. The sequence of training activities needs to be guided by the principles of adult learning described in the preceding section of this chapter, and the overall order of events in the training program will be best when it follows a pattern that makes sense to the individual students who are being trained, and to their instructors.

In the case of the OESO course, the sequence will be guided in part by the existing course, which already has an established progression, and which might well remain the matrix into which the competency-training elements are introduced; there is a wide range of equally valid options in the sequence of events of competency-based training programs. The key to success is the effectiveness of the team designated to determine the revisions, in collaborating on a structure that will ensure that competency training is logically and coherently integrated into the existing course.

The primary consideration here is the determination of an overall training objective, with respect to both the competencies selected for teaching and the relationships among them, that ensures that graduates are equipped with those capabilities needed by many or most of the OESOs in the field.

2. Terminal and Intermediate Learning Objectives. There are two issues in the framing of terminal and intermediate learning objectives: the first is what their content will be, and the second is the method used in casting them. The second issue is primarily one of education technology, in which, for example, it might be required that a certain percentage of students attain a certain percentage of the objectives, and that these objectives be stated in strictly behavioral terms. The first issue is primarily one concerning which behaviors, functions, skills, and the like ought to be included in the objectives. The competency model itself provides substantive data on the content of terminal and intermediary learning objectives, as well as some suggestions as to how these objectives might be cast.

As mentioned in the preceding section of the present chapter, the competencies themselves are the objectives in competency-based training. What is required beyond the statement of the competencies are behavioral indicators that will serve as criteria for demonstrated performance, for those cases in which the competency is not a specific behavior. The competencies themselves are described with examples from the interviews in Chapter 2, and behavioral indicators are given in Table 2.5. These descriptions can serve as the content for statements of course objectives, or at least they can serve as criteria according to which objectives can be written.

The question of how terminal and intermediate learning objectives are to be structured is partly addressed by the chapter's discussion of competency strength. Briefly, this discussion indicates that the difference between average and superior performers was not merely in exhibiting the presence of a competency: both average and superior OESOs demonstrated most of the competencies at one time or another. What made the difference was that superior OESOs demonstrated more of the competencies more often than did the average OESOs, and with more strength across the board. This measure of competency strength is valuable in differentiating average from superior officers in the field, but it is also valuable in setting learning objectives in a way that we shall now explain.

Since the objective of the course is to train students in the competencies that they will need to emulate most or many of the OESOs in the field, and not necessarily to teach only those

competencies that are possessed by superior OESOs alone, it is wise to cast learning objectives in such a fashion as to guarantee that prospective OESOs can demonstrate competencies in each important cluster. It is more important for a graduate to have the chance to be broadly trained across the range of competencies than to be comprehensively trained in only a few.

One approach to framing objectives might be to establish terminal learning objectives according to job functions and intermediate learning objectives according to specific competencies. A student will have met a terminal objective, according to this scheme, if he or she has demonstrated at least one of the specific competencies related to a function or intervention stage, and will have met the overall objective if he or she has demonstrated certain competencies for each stage.

In summary, then, the competency model describes and illustrates each competency, and introduces the ideas of competency strength or versatility across the range of competencies. The behavioral indicators for each competency, which are also provided Chapter 2, offer criteria for setting objectives. As a result, both the content of the objectives and a method for constructing them are suggested within the competency-model report.

3. Proficiency Criteria and Content Tests. The most important consideration in constructing assessment procedures in competency-based training is that they be criterion-referenced; that is, that they measure an individual's performance against a standard of actual behavior that makes a difference in field performance. This is the advantage of a competency model for training purposes, in that it removes from designers the burden of justifying the validity of norm-referenced testing (average scores, or curve grading, which may indicate how an individual does with reference to a particular population but does not say how the performance stacks up against the requirements of a particular job). The competency model describes the characteristics that lead to effective performance in the field, and then goes on to specify the behaviors that demonstrate whether or not the competency is present. As a result, assessment procedures can be anchored to actual field performance: the potential exists to evaluate classroom performance with the same criteria that one would use to evaluate effective field performance.

Along with this external anchor to field performance, the competencies provide an internal anchor within the course of instruction. This occurs when the tests are measures of how well an individual performs against the course's objectives.

One reason many educational technologists insist that the proper sequence for course development is the construction of tests before the design of course materials is to insure that there is no interference in the test-making process: that the tests are direct measures of performance against the course's objectives and not merely tests of how well an individual has proceeded through the curriculum's activities. The same competency descriptions and behavioral indicators that inspire the construction of objectives can likewise inspire the construction of tests and proficiency measures. What will be required as a stage in developing revisions for the course is the determination of classroom behaviors, observable by instructors and students, that accurately demonstrate the presence of the competencies.

Assessment procedures in competency-based training can be viewed as a "horizontal assessment center," or a set of assessment activities occurring throughout the course and integrated with the program of instruction at key stages. Content tests are appropriate for competency clusters with a knowledge component, such as Functional Knowledge, and are also appropriate to ensure the understanding of and rationale behind the more behaviorally oriented competencies.

Proficiency criteria, such as are currently used in the OESO course, are perhaps even more potent measures than pencil-and-paper tests, since they are techniques that allow both instructors and students to assess an individual's "life" performance. They are also encouraged for use in measuring knowledge-based competencies, since the competency is often an ability to apply knowledge in practical observable situations (Functional Knowledge is this sort of competency cluster).

With the competency-cluster method of developing course objectives, as described above, course designers are offered a convenient way of locating their assessment procedures throughout the curriculum. Attaining a terminal learning objective is the result of attaining specific intermediate learning objectives, each of which is a specific competency. Proficiency criteria for each specific competency can be introduced at the point where that competency is first taught within the curriculum. Students can be assessed according to these criteria at the first opportunity to practice or apply this competency in the classroom exercise; subsequently they can be assessed for the same competency during later modules, even as they are being assessed for new competencies. This provides students with multiple opportunities to demonstrate the competency throughout the course, and thus to attain the intermediate and terminal objectives of the course.

While the emphasis of this discussion is on external assessment--that is, the judgment made primarily by instructors about the progress of students in attaining the course's objectives--attention must also be paid to the assessment made by students of their own performance. Because self-assessment is an essential component in adult learning, procedures can be established that allow students to use the proficiency criteria in judging themselves and in monitoring their progress.

To summarize, in competency-based training the competencies themselves are the basis of the assessment procedure used in the curriculum, anchored at once to effective field performance and to the objectives of the course. Proficiency criteria and content tests are both appropriate measures of performance, and they can also be used to judge whether a student is meeting a course standard, both by an instructor and by the individual student.

4. Instructional Methods. In addition to affecting the overall training objective, the terminal and intermediate learning objectives, and the proficiency criteria and content tests, the competency-model report can influence the instructional methods and their supporting materials, in the following ways:

- The competency analysis can inform the development of specific modules in competency-based training, following upon the setting of objectives and the development of tests. The specific modules are built according to the principles of adult learning, presented in the first section of this report. Additionally, and not incidentally, the presentation of the competency analysis has the power to create a common language between students and instructors, focusing the training enterprise on what students will actually be required to do in order to perform effectively.
- The job-task analysis can help focus much of the present training, by specifying what incumbents judge to be the job's essential functions. Table 2.10 categorizes OESO job functions according to their merit in terms of effective job performance and essentialness to the job's routines.
- Individual assessment is an area in which organizational consultants are often asked to provide assistance, particularly in such practical areas as job-person matching, performance appraisal, and the determination and evaluation of training programs. The introduction to the competency-model report contains an evaluation of the traditional approach to these areas, namely, job-task

analysis, and the advantages of an alternative approach, job-competency analysis. Prospective OESOs might benefit from learning some of the research methods used in developing the OESO competency model, as a way of informing their own consulting responses in these areas.

In a general way, this section has provided some recommendations about the revision of the OESO course, through a discussion of the potential impact the competency model might have on the existing curriculum. In the next section, specific recommendations are offered, based partly on the information already presented and partly on the review of the course conducted jointly by the representatives of the directorates at the OECS and of McBer and Company.

SPECIFIC RECOMMENDATIONS

The specific recommendations offered in this section follow the same categories as those in the preceding section: 1) the overall training objective, 2) the terminal and intermediate learning objectives, 3) proficiency criteria and content tests, and 4) the instructional methods.

1. Overall Training Objective. The overall training objective of the OESO course, as stated in the Educational Goals of the Program of Instruction, is twofold:

- (1) To provide an understanding of the system view of an organization, of intergroup and organizational processes, and of the role of organizational effectiveness in the Army
- (2) To develop skills in organizational assessment and diagnosis, in evaluating interventions, and in the applications of the knowledge described in the goal above

With respect to the overall training objective, the OESO competency model permits the following recommendations to be made:

Recommendation 1: Clusters of competencies with significant importance values, training values, and development potential should be incorporated in the Educational Goals of the Program of Instruction.

Recommendation 2: Job tasks that were rated by incumbent OESOs to have a high success value should be incorporated in the Educational Goals of the Program of Instruction.

The competency clusters and job tasks are related in this way:

Entry and Contracting

Strong Self-concept causes the ability to Develop a Common Understanding with the client

Personal Influence bolsters a Strong Self-concept, and also helps develop credibility with the client

Assessment and Diagnosis; and Planning

Functional Knowledge enables the OESO to develop Diagnostic Skills, and thus to assess and diagnose well

Diagnostic Skills, Personal Influence, and Results Orientation enable the OESO to develop Tactical Planning Skills

Armed with Diagnostic and Tactical Planning Skills, the OESO is able to take the measure of problem situations and determine an appropriate intervention strategy

Implementation, Evaluation, Follow-up

Results Orientation and Tactical Planning skills bring about the skills of Tactical Flexibility, which in turn drive a series of behaviors that make an intervention work

Results Orientation is directly related to the OESO's ability to evaluate the outcome of an intervention

Recommendation 3: Because there is a similarity in language between the terms used to describe job tasks and competency clusters, and between both of them and the description of the present Educational Goals of the Program of Instruction, care must be taken to ensure that there is no confusion between "job tasks," "job functions," "skills," and "competencies." The meaning of each term should be clearly defined in the process of revising the Educational Goals.

Recommendation 4: The Educational Goals should be organized in a way that accommodates the introduction of new competencies and job tasks presented in the OESO competency model. In accomplishing this two options appear reasonable: 1) using only the OESO competencies and job tasks in the statement of Educational Goals, subsuming the existing goals into those statements, and 2) introducing into the present list additional goals that account for the competencies and job tasks contained in the competency model. Table 3.3 provides, in outline form, the relationship between the OESO competencies recommended for training and existing modules in the Program of Instruction.

It should be noted that the present Educational Goals are already congenial to the competencies and job tasks identified in the OESO competency model: some coincide with the Functional Knowledge cluster, and some with certain job tasks identified by OESOs in the present study.

TABLE 3.3

Integration of OESO Competencies
into the Overall Course Objectives

<u>TRAINING TASKS IN EXISTING MODULES . . .</u>	<u>ACCOMPANIED BY TRAINING IN THE FOLLOWING COMPETENCIES</u>
Individual and Group Behavior	Strong Self-concept Personal Influence Develops Common Understanding
Design and Facilitation Skills	Results Orientation Tactical Flexibility
Organizations as Systems	Functional Knowledge
Skills in Training	Diagnostic Skills Tactical Planning Skills Tactical Flexibility Personal Influence
Field Training Exercise (FTX)	All Competencies

2. Terminal and Intermediate Learning Objectives. Two observations were made about the present terminal and intermediate objectives for the OESO course: first, that the list of objectives is specific, behaviorally oriented, and comprehensive; and second, that it coincides in substance with the knowledge and skill orientation of the program of instruction.

The following recommendations are offered if the OESO competency model is to be used in revising the OESO course:

Recommendation 1: Terminal learning objectives be written in terms of job functions by phases of OE interventions, and intermediate learning objectives in terms of the specific competencies within those functions.

Recommendation 2: The introduction of new objectives into the present list be accompanied by a careful analysis and refinement of the existing objectives, in order that there not be any redundancies on the final list.

Recommendation 3: The statement of objectives be written as a guiding document for students and instructors; it should be set forth as a standard of performance that must be met in order successfully to complete the training program. Taking into consideration the discussion of objectives in the preceding section, this implies that the objectives be written so that it is clear which ones are mandatory for completion of the course, and which are optional within each cluster.

Examples of learning objectives for specific OE intervention phases are presented in Exhibit 3.1.

3. Proficiency Criteria and Content Tests. At the present time, proficiency criteria and content and knowledge tests are both used in the OESO course. Each is an important procedure in student assessment. With the addition of the OESO competency model, it is now possible to criterion-reference these

EXHIBIT 3.1

Sample Objectives

Entry/Contracting

The student demonstrates the ability to develop a common understanding with a client during the entry and contracting phases of an intervention. The student is able to get the client to open up about serious organizational issues, and can raise and discuss serious problem areas. By asking probing questions to clarify these issues, and by pressing for facts, the student is able to identify the client's key concerns. The client's disclosures are taken in a spirit of acceptance and confidentiality. The student recognizes the need to have a positive impact on the client, and consequently he or she tries to make a favorable impression through articulate speech and writing. As a result, the client's needs are well stated, as are the student's probes and replies.

The contract reflects the student's concern for concrete results on the client's behalf, and the intervention strategy outlined in the contract reflects an accurate reading of the client's concerns as well as an awareness of the client's constraints. The student thereby demonstrates an ability to make a sound initial diagnosis of need, and a flexible plan of action to improve the client's unit.

Assessment/Diagnosis

In using the GQO and other less formal methods of organizational diagnosis, the student is able to form a picture or perhaps a number of possible pictures of what is happening in the client's organization. These diagnoses will shape the way the data are given back to the client, and the way the rest of the implementation is planned. The student has the ability to gather data from people with different perspectives in the client organization, and to obtain the advice of other professionals in reading the data. The student will generate many hypotheses to explain the situation; will find metaphors and analogies to depict them in simple and easily understood ways; and will display an ability to get to the heart of the matter. In all respects the diagnosis is built on the foundation of organizational theory and methodology, and grounded in an understanding of how Army units function.

Exhibit 3.1 (continued)

The data are fed back to the client in a way that allows a common understanding to develop. The student knows that unless the client can see the discrepancies in terms that are familiar and "face-valid," the feedback session will not succeed. Similarly, the student will involve the client in future planning and will demonstrate the tactical flexibility that enables the client to "own" the intervention strategy.

Planning

The student demonstrates the ability to state specific outcomes in planning workshops and interventions; in addition, the student thinks at the planning stage how the workshop or intervention will be evaluated against stated outcomes, and makes plans to measure the effectiveness of the work. In the planning phase, the OESO demonstrates thought and action with respect to an awareness of time--of how long it takes to conduct activities--and to the sequencing of activities within a realistic frame of reference for the client system. In addition, the student demonstrates tactical planning skills by relating the workshop or intervention to actual client needs, both with respect to the problem being solved and to the political constraints and opportunities with which the client is operating. The OESO demonstrates his/her own concern for influence in being attentive and responsive to these constraints and opportunities.

Implementation

The student will demonstrate that he or she has a clear picture of the measurable results that will be obtained if the implementation is successful. Because the logistical details are so important, they can easily become ends in themselves, diverting the student from the goal of the enterprise. The concern for results will be demonstrated in communications with colleagues, with the client, and with participants in the implementation effort. Every activity will be presented clearly as a means of accomplishing specific goals.

The student demonstrates the ability to assume different roles at different implementation stages: manager of the activity, teacher, consultant, writer, or whatever is required at the moment to move the effort in the direction it needs to go. Tactical planning and tactical flexibility are skills made possible by a results orientation, and the students' knowledge of

Exhibit 3.1 (continued)

where the effort is going enables him or her to employ any number of techniques and variations to get there. Tactical skills are also made possible by a grounding in OE theory and the workings of the Army. The student demonstrates a pragmatic yet professionally sound approach to implementation.

To succeed in the implementation effort, the student demonstrates that he or she is in common agreement with the client at each step, and demonstrates an ability to influence others in the process. The student knows the chain must be maintained and is able to create a positive, professional image in people's minds.

Evaluation

The student demonstrates a results orientation by evaluating the effectiveness of the intervention. This begins in contracting, when the measurable criteria for success are spelled out with the client. Because of his or her understanding of OE theory and techniques, the student is able to set up and apply an evaluation method. He or she demonstrates the ability to define the part of the organization that will be affected by the intervention, what the effects are intended to be, and how those effects will be measured. At the end of the intervention, the student will judge his or her success in the actual results obtained, rather than solely on how smoothly the implementation effort proceeded.

Sample Intermediate Objectives (for Planning)

1. Results Orientation: In this lesson simulating a planning session, the student demonstrates a results orientation by stating goals in concrete, measurable, time-phased terms, sets up plans that have actual milestones according to which parts of the work will be accomplished, and speaks about specific intended outcomes that are qualitatively and quantitatively different and better than the present state of affairs in the client system.

2. Tactical Planning: In this same lesson, the student will submit the plan to negotiation with the client by presenting the rationale for each projected activity, the diagnostic data which supports the choice of an intervention strategy; and by attending to the reactions of the client, will judge the feasibility of the plan's success and modify it accordingly.

measures; that is, after constructing course objectives according to competencies that relate to effective field performance, these measures can now be constructed according to the same criteria.

Recommendation 1: The content tests be employed more widely throughout the course, tailored to the Functional Knowledge and Diagnostic competencies and to the knowledge about the OESO competencies and job functions.

Recommendation 2: Proficiency criteria, or performance indicators, be drawn up for each lesson that has a practice (experiential) component for students, instructors, and student observers to use in measuring performance. The indicators will measure the competencies that are expected to be found in that particular lesson.

Recommendation 3: Students record the results of their performance in logs, along with the goals they have set and the action plans they have made to improve their performance.

Below is an example of how performance indicators might be used in a role play or simulation.

In a role play, the student takes the part of an OESO entering and contracting with a client, a resistant CO who wants a "quick fix." From past experience the OESO knows that the needs of the command require a longer-range solution and, furthermore, that the mood of the command is such (as the OESO understands it from other sources) that a quick fix has no chance of even getting off the ground. The meeting rapidly becomes stressful, owing to the conflicting agendas of the two individuals.

The players are given time to let the situation unfold, and then are instructed to write, privately, what each thought of the OESO's performance. Student observers have rated the OESO's performance with performance indicators, and they also write their summary report of the OESO's performance while the two actors are writing theirs. The information is shared when everyone's report is completed. Sample performance indicators for this role play are presented in Exhibit 3.2 to illustrate the kind of information the observers would be asked to document and share.

4. Instructional Methods. The present course methodology is consistent with the methods proposed for effective adult learning in the first section of the present chapter.

EXHIBIT 3.2

Performance Indicators for
Sample Role-Play Exercise

DEVELOPS COMMON UNDERSTANDING

Values Client Input: Interrupts client to press a point, or fails to acknowledge a client's point before making one's own.

Yes ☐ Evidence: _____
No ☐ _____

Modifies previous position as a result of further explanation by client.

Yes ☐ Evidence: _____
No ☐ _____

CONCERN FOR CLARITY

At or near beginning of discussion, sets forth own agenda, and what one expects from the other for the intervention.

Yes ☐ Evidence: _____
No ☐ _____

Probes for additional information, restatement, or clarification of client's meaning and intent.

Yes ☐ Evidence: _____
No ☐ _____

Maintains a personal sense of direction throughout the interaction without "losing one's way" (e.g., turning it into a question-answer session).

Yes ☐ Evidence: _____
No ☐ _____

After the student who plays the OESO reports on his or her assessment of performance, new performance indicators can be brought in to measure what he or she was thinking:

PERSONAL INFLUENCE

Concern for Impact: Thought about having a high personal impact.

Yes ☐ Evidence: _____
No ☐ _____

Uses Interpersonal Influence Strategies: Took actions to persuade client, resulting in a desired change in client's response.

Yes ☐ Evidence: _____
No ☐ _____

DEVELOPS COMMON UNDERSTANDING

Concern for Clarity: Stated expectations of other's performance or role.

Yes ☐ Evidence: _____
No ☐ _____

Values Client Contributions: Wondered how client felt about the design or leadership of intervention activities.

STRONG SELF-CONCEPT

Self-confidence: Compared self favorably with other.

Yes ☐ Evidence: _____
No ☐ _____

Self-confidence: Saw self as "original" as one who makes things happen.

Yes ☐ Evidence: _____
No ☐ _____

Information is presented through lectures, readings, and assignments; self-assessment opportunities are provided throughout the course; and there is a variety of experiential activities aimed at skill development and job application. All of these components are ideally present in each competency-training module. The typical module is organized in this fashion:

- (1) Presentation of the objectives of the module (with reference to the terminal and intermediate learning objectives)
- (2) Introduction of the classroom-specific performance indicators, or proficiency criteria, which will be used to observe whether students have demonstrated the competency and to what extent
- (3) The Recognition component, usually a case study to compare the presence of a competency in a given situation with a situation in which the competency was absent
- (4) The Understanding component, usually a lecture presenting a model and background information about the competency
- (5) The Self-assessment component, usually some form of self-rating to enable students to determine whether, and to what extent, they possess the competency
- (6) The Skill Development component, usually a practice exercise and a debriefing, in which students can experiment with the new behavior, "get the feel of it," or otherwise apply it to their own use, measured against proficiency criteria
- (7) The Job Application component, usually a simulation, role play, or direct performance of a job-related activity, in which students apply the newly learned skill to an actual job situation, measured against proficiency criteria
- (8) Follow-up activities, usually including a review of the individual's performance during the module (video-taped or otherwise), goal setting, and action planning, in which the student assesses the learning and makes a plan to improve upon it

Besides having an existing instructional methodology that is consistent with competency-based training, the OESO course also presents material that substantively teaches the OESO competencies.

Table 3.4 presents the results of the review of the OESO course conducted by representatives of the OESO directorates, including the instructional focus for each week, the OESO competencies that are implicated in each unit, recommended instructional methods, and the steps in the competency acquisition process that are taken into account. In the following paragraphs, recommendations for each instructional module in the OESO course are presented in accordance with this table.

Module One: Individual and Group Behavior in Organizations

Representatives of the directorates judged that certain lessons in this module contributed to the development of competencies in the following clusters: Strong Self-concept, Tactical Planning, Tactical Flexibility, and Results Orientation. The strongest training value was found for Strong Self-concept, particularly in the experiential components of the module.

The overall recommendation for this module is that its activities be more explicitly directed to the job tasks and competencies of OESOs, either by redesign of the module or by insertion of training activities into the module's present structure in order to make the links clearer between the module and the OESO's job. Diagnosis/assessment seem the most likely functions.

Recommendation 1. The OESO course be introduced at the very beginning as a vehicle for training in OESO job functions.

Introduction: Presentation of either the Assessment-Planning-Implementation-Evaluation (APIE) model or the Kolb-Frohman model, and the specification of activities within each step

Recognition: Presentation of video or case reports illustrating the activities

Understanding: Explanation of the rationale of the activities--why they relate to effective OE outcomes

Self-assessment: Presentation of a self-assessment grid (such as the "Do Well/Don't Do Well; Like/Don't Like" matrix) for students to predict their job-person match

Skill Development and Job Application: There are no exercises, but the course is explained as providing opportunities for skill development and job application. These activities are shown in the course outline.

TABLE 3.4
COMPETENCY ANALYSIS OF OESOC

WEEK	TITLE	FOCUS	COMPETENCY CITED	METHODS	C A P STEPS	
					CONTRI- BUTES	MEETS CRITERIA
1	Individual and Group Behavior	<ul style="list-style-type: none"> ● Interpersonal Skills ● Group Interaction ● Management Theory and Practice 	Results Orientation: ● Concern for measurable outcomes	OMR Lecture	U	-
			Strong Self-concept: ● Accepts responsibility for failure	Clinicking	U SA	-
			Tactical Planning: ● Accurately gauges others' reactions	Group Exercises	U SA SD	-
			Tactical Flexibility: ● Assumes, differentiates among multiple roles	Group Exercises	SD	-
2		<ul style="list-style-type: none"> ● Intrapersonal Issues: Values, Perceptions ● Assertiveness ● Self-assessment 	Strong Self-concept: ● Perceptual objectivity	Formation of Attitudes Professional Goals, Personal Values	SA	-
			Tactical Planning: ● Accurately gauges others' reactions	Group Exercises	U SA SD	-
3	Design and Facilitation Skills	<ul style="list-style-type: none"> ● Unstructured Group Exercises ● Group Process Models ● Design, Facilitation of Group Experience 	Tactical Planning: ● Accurately gauges others' reactions	Group Exercises	U SA SD	-
4		<ul style="list-style-type: none"> ● Problem Solving: Interaction Method and Other Techniques 	Personal Influence: ● Uses interpersonal influence strategies	Interactive Method: Collaborative Problem Solving	SD	-
			Develops Common Understanding: ● Concern for clarity	Interactive Method: Recording Data	-	U
			Results Orientation: ● Concern for measurable outcomes ● Time consciousness	Lessons on Time and Meeting Management	U	-
5	Organizations as Systems	<ul style="list-style-type: none"> ● Organizational Systems: Theory and Applications 	Diagnostic Skills: ● Obtains multiple perspectives on situations and events	Lectures Throughout	U SA SD	-
			Functional Knowledge: ● Knowledge of OE theory ● Knowledge of client system as an organization	Lectures Throughout	U	-

KEY

- Competency Acquisition Process
- U - Understanding
- SA - Self-assessment
- SD - Skill Development
- - Application

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TABLE 3.4

COMPETENCY ANALYSIS OF OESOC (CONTINUED)

WEEK	TITLE	FOCUS	COMPETENCY CITED	METHODS	C A P STEPS	
					CONTRI- BUTES	MEETS CRITERIA
6	Skills in Consulting	<ul style="list-style-type: none"> Consulting: 4 steps Assessment Surveys: GOQ Interviewing Skills 	Functional Knowledge: <ul style="list-style-type: none"> Knowledge of OE Theory 	Lectures: 4-Step	U	-
			Diagnostic Skills: <ul style="list-style-type: none"> Obtains multiple perspectives on situations and events Uses metaphors and analogies 	Lessons on GOQ and Sample Size	U SD	- -
			Tactical Planning: <ul style="list-style-type: none"> Identifies key themes in data 	Introduction to Consulting Lecture on GOQ	U -	- U
			Results Orientation: <ul style="list-style-type: none"> Concern for measurable outcomes 	Lecture: Introduction to Consulting Skills	U	-
			Strong Self-concept: <ul style="list-style-type: none"> Perceptual objectivity 	Lecture: Introduction to Consulting Skills	U	-
			Develops Common Understanding: <ul style="list-style-type: none"> Concern for clarity 	Lectures: 4-Step	SA SD	- -
			Tactical Flexibility: <ul style="list-style-type: none"> Assumes and differentiates among multiple roles 	Group Exercises: Role Sorting and Team Building	SD	-
7	Skills in Consulting (cont'd)	<ul style="list-style-type: none"> Survey Instrumentation ADP Hardware/Software Organizational Diagnosis 	Functional Knowledge: <ul style="list-style-type: none"> Knowledge of OE theory 	Lessons on GOQ, Interviewing	-	SD
			Diagnostic Skills: <ul style="list-style-type: none"> Obtains multiple perspectives on situations and events Uses metaphors and analogies 	Lessons on GOQ, Sample Size, and Data Reduction	U SD	- -
			Tactical Planning: <ul style="list-style-type: none"> Identifies key theories in data 	Introduction to Consulting Lessons on Data Reduction and Feedback Planning	U SA SD	- U -
			Tactical Flexibility: <ul style="list-style-type: none"> Assumes and differentiates among multiple roles 	Lesson on Planning the Consulting Effort	SD	-
9-10	Skills in Consulting (cont'd)	<ul style="list-style-type: none"> Data-Reduction Models Data Analysis Preparing Data Feedback Case Studies in Consulting 	Functional Knowledge: <ul style="list-style-type: none"> Knowledge of OE theory Knowledge of client system as an organization 	Case Studies	- -	SA SD
			Strong Self-concept: <ul style="list-style-type: none"> Perceptual objectivity 	Case Studies	-	SD
			Develops Common Understanding: <ul style="list-style-type: none"> Concern for clarity 	Lesson: Evaluation by Documentation	U SA SD	- - -
			Diagnostic Skills: <ul style="list-style-type: none"> Obtains multiple perspectives on situations and events 	Case Studies	SD	-

TABLE 3.4

COMPETENCY ANALYSIS OF OESOC (CONTINUED)

WEEK	TITLE	FOCUS	COMPETENCY CITED	METHODS	C A P STEPS	
					CONTRI- BUTES	MEETS CRITERIA
8-10	Skills in Consulting (cont'd)		Tactical Planning: • Cause-and-effect thinking	Case Studies	SD	-
			Tactical Flexibility: • Problem-focused adaptation of techniques and procedures	Case Studies	SA SD	-
11-15	Field Training Exercise (FTX)	• Practicum: L&MDC; Full OE Operation; Case Report	Functional Knowledge: • Knowledge of OE theory	Practicum	-	JA
			• Knowledge of client system as an organization		-	JA SA
			Develops Common Understanding: • Values client input	Practicum	-	JA
			Diagnostic Skills: • Obtains multiple perspectives on situations and events	Practicum	JA	JA
			Tactical Planning: • Cause-and-effect thinking	Practicum	JA	-
			Results Orientation: • Concern for measurable outcomes	Practicum	-	JA
			• Time consciousness		-	JA
16	Macro View of Organizations	• Macro Systems Theory and Application • Strategic, Open-Systems Planning • DA, MACOM Orientation	Functional Knowledge: • Knowledge of OE theory		U	-
			• Knowledge of client system as an organization		U	-
			Diagnostic Skills: • Obtains multiple perspectives on situations and events	Lesson on OE Program Management	U	-
			Tactical Planning: • Identifies and uses influence patterns	Lessons on Macro Systems and Program Management	U	-

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Recommendation 2. The OESO course should be introduced at the very beginning as a vehicle for training in the OESO competencies.

Introduction: Definition of a competency

Recognition: Presentation of case material to show the difference between effective and ineffective performance

Understanding: Explanation of how competencies are derived (the research design), how the OESO study was conducted, and what the competencies are, with examples from the study

Self-assessment: Presentation of the performance indicators for the OESO competencies, for students to draw their own profiles of predicted strengths and weaknesses, based on their performance in previous jobs

Skill Development and Job Application: Same as in Recommendation 1, done for competencies

Recommendation 3. The experiential lessons in this module, for both group and individual behavior, be explicitly linked to competency development and to the job functions of the OESO. The competencies that appear ready for treatment in the training of Module One are:

- (1) Strong Self-concept: perceptual objectivity and accepts responsibility for failure
- (2) Personal Influence: creates a positive image and uses interpersonal influence strategies

A way to link the experiential activities with competency development is to provide instructors, students, and student observers with the performance indicators of the respective competencies to be used in observing student behavior and fed back during debriefing sessions. Students can then keep this information about themselves in logs, which helps them plan for performance improvement.

Recommendation 4. The Outcomes-Methods-Resources lesson, which was identified as contributing to the concern for measurable outcomes, should be introduced as demonstrating the importance of a Results Orientation for OESOs as well as for managers. This can be accomplished in the following way:

Introduction: Explanation of the lesson as a component of the Leadership and Management Development course, which

has value for managers in doing their jobs; but that the same underlying drive that makes managers effective also helps to make OESOs effective--Results Orientation

Recognition: Comparison of cases of a manager who is concerned with measurable results with an OESO concerned with measurable results, which will enable students to see this link

Understanding: Group discussion of Results Orientation, which can reinforce the link, as well as enable students to identify ways that the OESOs' Results Orientation can assist their clients become more efficient and effective managers

Self-assessment: Provision of performance indicators for concern for measurable outcomes, for students to assess themselves in this competency

Skill Development: Introduction of goal-setting exercises, as a way to develop Results Orientation

These recommendations are designed to keep the module as much intact as possible, allowing for changes to be introduced that emphasize the relationship between the existing activities and on-the-job performance of the OESO's work. Given the model that describes the interrelationships among the competencies, there is some training logic in beginning with the clusters Strong Self-concept and Personal Influence (not, however, neglecting opportunities to nod to other competencies when the chance arises), particularly when these competency clusters are followed by training in Develops Common Understanding and Tactical Flexibility, which can be introduced in Module Two. This quartet of competency clusters forms a family in the competency model.

Module Two: Design and Facilitation Skills

Representatives of the directorates judged this module as having modest competency-training impact, with Tactical Flexibility occurring in Week 3 and Results Orientation occurring in Week 4. Also in Week 4, Develops Common Understanding is addressed in a more direct way, during the data-recording section of the Interactive Method.

With some additions, however, Module Two might have significant training impact while at the same time flowing nicely from Module One. If we recall that there is a family of competency clusters formed by Strong Self-concept, Develops

Common Understanding, and Tactical Flexibility--and that Tactical Flexibility forms a separate family with Diagnostic Skills, Tactical Planning, and Results Orientation--it would not require much to design Module Two to be more explicit in identifying these families, as Figure 3.1 illustrates. Module One could still address other competency clusters, according to the recommendations, but focus most on Strong Self-concept.

The following recommendations are meant to provide a relatively simple way of strengthening the competency training impact of Module Two.

Recommendation 1. The lessons that comprise the Formation and Functioning of Small Groups should be designed to accommodate the competencies in Develops Common Understanding.

Introduction: First, the link needs to be made between small-group work and the job functions of the OESO. Then these lessons should be explained as a process by which skills in the competency cluster are developed. The competencies are concern for clarity and values client contribution (input).

Recognition: Case material can be used to contrast the effective (i.e., competent) and ineffective treatment of others in a group setting, with the resulting impact being shown. The links are then drawn between group facilitation and the OESO's concern for clarity and valuing of the client's contribution.

Understanding: Revision as necessary of lectures and other conceptual materials, to make learning points about these competencies

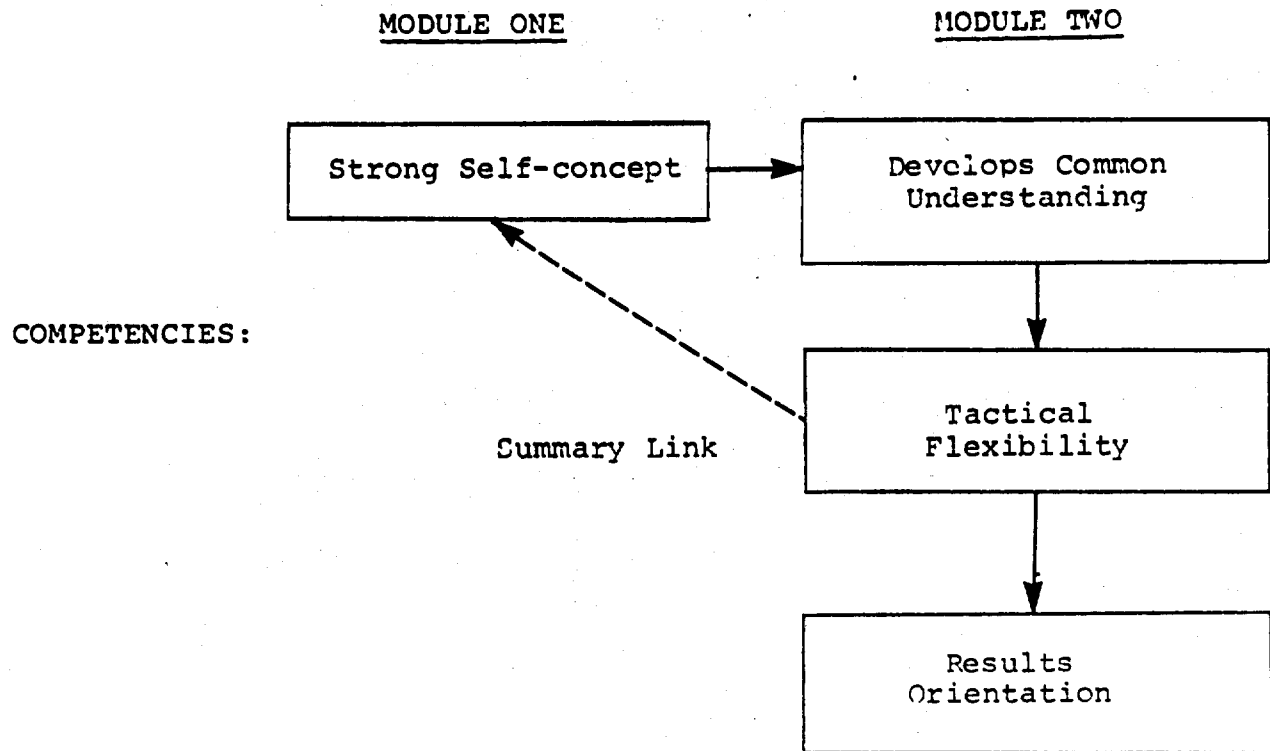
Self-assessment: Introduction of performance indicators of these competencies for instructors, students, and student observers to watch the processes in light of the competencies; feedback of data to students on their logs and performance-improvement plans

Skill Development: The exercises should have skill development as a goal, with instructor intervention and debriefings conducted with the competencies as the focus of learning.

Job Application: Drawing of conceptual links between the lessons and the job tasks and competencies of OESOs; introduction of job simulations if the exercises do not resemble job situations

FIGURE 3.1

Training in Competencies in Assessment/Diagnosis



Recommendation 2. The lessons that comprise design and facilitation skills should be adapted to accommodate the competencies in Tactical Flexibility.

Introduction: These techniques are offered because they are used by OESOs, specifically effective OESOs. That is, by assuming different roles at different times, and by designing and adapting these techniques to meet client needs, OESOs respond to shifting expectations and can account for the people and resources that are available.

Recognition: Contrasting cases; for example, the consequences of the failure of an OESO to adapt the technique according to the problem at hand, compared with the consequences of an intervention in which an OESO demonstrated tactical flexibility

Understanding: Description of the various techniques presented for learning, as is currently being done during the module

Skill Development: Practice in learning the techniques, as is currently being done, with the addition of group discussion or presentations of various job-related contingencies, in which the techniques might have to be altered; this would account for Job Application as well.

It should be noted that any given training activity can be put to the service of more than one competency--and more than one competency cluster--simply by assessing student performance according to multiple criteria. For example, it is possible for students to be assessed, and to assess themselves, with the Strong Self-concept performance indicators during the Formation and Functioning of Small Groups lessons, even as the course is presenting those as competency-training lessons for Develops Common Understanding. In this way, students can mark their own progress in a previously taught competency even as they are developing a new one.

This practical fact makes it possible, then, for the Design and Facilitation lessons and the techniques offered in Week 4 (time and meeting management, problem solving, and workshop design) to do double duty: to train in both Tactical Flexibility and Results Orientation, simply by having those lessons set up in the same fashion as described before.

Recommendation 3. The techniques taught in Module Two, especially those in Week 4, should be used to strengthen students' Results Orientation, as well as Tactical Flexibility.

Introduction: Incorporation of Results Orientation in the Introduction of these lessons, as characteristics of the effective OESOs who use these techniques

Recognition: Inclusion of material in the contrasting cases that demonstrates how a lack of Results Orientation can lead an OESO into an "activity trap"--using activities as ends in themselves rather than as practical means to obtaining measurable outcomes

Understanding: In the presentation of practical information about these techniques, the placing of stress on the intended outcome for each method

Self-assessment, Skill Development, and Job Application: Again, the same format as described in the preceding recommendation, in which every practical exercise is connected with its field application, and student performance is aimed at competency development, and observed and assessed with the appropriate performance indicators; each student to keep this data in a log and make a performance-improvement plan.

By way of summary, Modules One and Two can be made to form a relatively coherent treatment of the first four competency clusters, by adding introductions that relate the lessons to on-the-job tasks and competencies, and by adding case material that illustrates the competencies. And the strongest impact is achieved by the introduction and use of competency-based performance indicators in the various exercises: emphasizing Strong Self-concept in Module One, Develops Common Understanding with Tactical Flexibility in the first week of Module Two, and Tactical Flexibility with Results Orientation in the second week of Module Two. It is also strongly recommended that the course begin with a treatment of the competency study.

Module Three: Organizations as Systems

This module was observed to train in Functional Knowledge and Diagnostic Skills. Quite clearly, Functional Knowledge is its primary strength, and since this module is following upon a module that has the potential to train Tactical Flexibility and Results Orientation, it can logically flow according to the model of the interrelationship among the competencies. OESO function in this module are Diagnosis and Planning.

Recommendation 1. The objective of this module should be explicitly linked to the competencies in Functional Knowledge, and introduced in this fashion.

Introduction: Links made to the competency model, and to the job tasks of the OESO

Recognition: Contrasting of cases, to demonstrate the difference between the effective performance of an OESO as a result of exercising these competencies, and ineffective performance of an OESO when the competency was lacking

Understanding: Lecture on the rationale behind these competencies

Skill Development and Job Application: No exercises in the introduction, but practical applications pointed out for the rest of the module and subsequent modules

Recommendation 2: The competencies in Functional Knowledge be linked to the previously treated competencies: within the introductory lesson, it should be pointed out that Results Orientation is a driving force in the OESO's acquisition of Functional Knowledge, and that Functional Knowledge plays an important role in the exercise of Diagnostic Skills and Tactical Planning.

Module Four: Skills in Consulting

This module, making up the largest segment of the course, trains in the basic techniques and procedures used by OESOs in command interventions. It was identified as treating all of the competency clusters except Personal Influence, although it does provide opportunities to teach skills in that cluster as well. All functions, from entry to follow-up, are appropriate. In fact, the practical skills involved in Personal Influence, Diagnostic Skills, and Tactical Planning are appropriately taught in this module, as well as the underlying skills found in Results Orientation, Functional Knowledge, and Develops Common Understanding. The module could easily accommodate competency training in all of the clusters.

The question becomes one of organization of the competency-training components, as well as one of methodology. In order to leave the module intact as much as possible, an overall recommendation would be to select which competencies are most appropriately associated with each lesson in the module, and present each lesson with an Introduction-Recognition-Understanding-and-Self-assessment method aimed at the competencies in question.

Recommendation 1. For the competencies in Functional Knowledge, lessons involving new content be introduced as presentations of those competencies; contrasting case studies

should be provided, and lectures should be written to demonstrate how the knowledge of OE theory and of the client system as an organization relate to effective field performance.

Recommendation 2. For the competencies in Personal Influence, practice lessons concerning negotiation, conflict resolution, and entry and contracting be introduced as an opportunity to learn and demonstrate skills in oral and written presentation (using interpersonal influence strategies) and in thinking about influence. Performance indicators of those competencies should be written for each lesson, participants selecting the behaviors most likely to be observed in the exercise. Performance indicators for Strong Self-concept are appropriate in these types of exercises as well.

Recommendation 3. For the competencies in Diagnostic Skills, Tactical Planning, and Tactical Flexibility, lessons that offer practice in planning and contracting with the client be introduced as an opportunity to develop skills in these clusters, and performance indicators of these competencies should be drawn up for each of these lessons.

Recommendation 4. For competencies in Results Orientation, lessons that offer practice in contracting, feedback planning, planning the consulting effort, and evaluation be introduced as opportunities to develop these competencies. Just as with the other recommendations, performance indicators be written for each lesson, capturing the behaviors most likely to be observed in a student demonstrating a Results Orientation.

Recommendation 5. The case studies be used as an integrative mechanism, in which the key competencies are all assessed. Performance indicators be drawn up for use at each stage of the case-study exercise, measuring the competencies that are most likely to occur at that stage.

Recommendation 6. At the end of this module, students prepare competency-oriented goals to attain during the FTX. These goals ideally be taken into consideration the student's track record in achieving performance-improvement goals throughout the course, and should be written to emphasize the competencies that need the most attention.

A possible scenario for Module Four might look like this:

INTRODUCTION TO THE FOUR-STEP

- Results Orientation
- Functional Knowledge

ENTRY AND CONTRACTING

- Personal Influence
- Strong Self-concept
- Develops Common Understanding
- Functional Knowledge

INTRODUCTION TO ASSESSMENT SURVEYS, SURVEY DATA-PROCESSING SYSTEM (GOQ)

- Functional Knowledge
- Results Orientation
- Diagnostic Skills
- Tactical Planning

INTERVIEWING

- Develops Common Understanding
- Personal Influence
- Results Orientation
- Functional Knowledge

GOQ

- Diagnostic Skills
- Tactical Planning
- Tactical Flexibility

DATA REDUCTION AND FEEDBACK PLANNING

- Functional Knowledge
- Tactical Planning Skills

- Tactical Flexibility
- Results Orientation

PLANNING THE CONSULTING EFFORT

- Tactical Flexibility
- Results Orientation
- Personal Influence
- Tactical Planning

EVALUATION BY DOCUMENTATION

- Results Orientation
- Tactical Flexibility

COMMAND TRANSITIONS

- Functional Knowledge
- Personal Influence
- Results Orientation
- Tactical Planning

**PERFORMANCE APPRAISAL, PROCESS PERFORMANCE, SITUATIONAL
LEADERSHIP, AND PERFORMANCE-OBJECTIVES WORKSHOP**

- Functional Knowledge
- Tactical Flexibility
- Results Orientation
- Tactical Planning

CASE STUDIES, SKILLS INTEGRATION

- All competency clusters

SELF-ASSESSMENT, PREPARATION FOR FTX

- All competency clusters, within a format of goal setting, action planning, and monitoring progress through the FTX.

Module Five: FTX

The FTX was seen to provide the Job Application segment in the training of most of the competencies. The FTX is an ideal opportunity to integrate the competencies into the job tasks of the OESO, and ideally the prospective OESOs will reinforce their ability to recognize when and under what circumstances a particular competency is called for, as well as performing that competency.

Since prospective OESOs go to the FTX in either pairs or groups, and since their supervisors are currently not likely to be able to observe their performance in competency terms, the goals that were set in preparation for the FTX might well be distributed among the prospective OESOs who are working together; in this way they can monitor one another's progress and give one another feedback on their performance.

Besides planning for this to occur, the only additional effort would be creating an FTX log and, of course, a copy of the OESO competency model and performance indicators.

Module Six: Macro Systems and Course Closure

This module offers additional information, case reviews from the FTX, and a practical orientation to the field. It

was viewed as offering additional training opportunities in Functional Knowledge, Tactical Planning, and Diagnostic Skills.

By this point in the course, the OESOs will have reached the course's objective, the acquisition of the competencies required by most or many OESOs. From the perspective of competency training, an overall recommendation would be for prospective OESOs to review their FTX goals, report their successes in attaining them, and set new goals for a specific period of time. In this way, the continuing professional development of OESOs would be established in both principle and fact, and competency acquisition would be viewed as an important component in this development.

CONCLUSION

The work of the OECS and the training they provide prospective OESOs are a significant contribution to the profession of organizational consulting, particularly when viewed in the larger perspective of existing consultant-training programs. Some business schools and schools of education provide course work and practice in organization effectiveness. Private businesses, such as University Associates, produce valuable training and training materials. The OESO course, however, is virtually alone in providing the opportunity for a structured, comprehensive program of consultant training. It is the hope of the authors of this report that the competency research will provide the means to strengthen that program even more.

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APPENDIX A

Analytical Framework for Case Study Analysis

This appendix lists the coding categories or rules that were applied to the analysis of the 85 case studies reviewed in Chapter 1. The categories are broken down into four types of intervention-related variables: (1) background variables, (2) consultant variables, (3) intervention variables, and (4) case outcomes.

1. Background variables

a. Type of client. Six types of client organizations were used to code the cases:

- (1) Business (B)
- (2) Government (G)
- (3) Education (E)
- (4) Health (H)
- (5) Community (C)
- (6) Military (M)

The distribution of cases among these categories is summarized in Table A.1. Two points deserve comment. First, despite the extensive involvement of both external and internal consultants in military organizations, there are few published cases in the literature--outside of the OE Communique, which has a limited circulation. Second, educational institutions generate an unusually high number of cases. This, in part, reflects a preponderance of university-based consultants who compensate for the low consulting fees associated with this type of client by obtaining other professional rewards through publication.

b. Reason for involvement. Not all the change efforts are initiated because a distinct problem exists. Nor are they always initiated by the client. Strauss (1976) has argued that this is potentially an important determinant of the effectiveness of an intervention. Each case was therefore coded on the basis of whether it was:

- a client-initiated intervention (I),
- a non-client-initiated piece of research (R), or
- both an intervention and research (I/R).

Clearly, notwithstanding Strauss's comments, client-initiated interventions predominate. Relatively few cases report pure research efforts, while a significant percentage combine research and intervention. This distribution is not

TABLE A.1
Background Variables

Type of Client (N = 85)

Business	35	41%
Government	16	19%
Education	19	22%
Health	7	8%
Community	5	6%
Military	2	2%
Others	1	1%
		<hr/> 100%

Reason for Involvement (N = 85)

Intervention	55	65%
Research	10	12%
Intervention and Research	18	21%
Other	2	2%
		<hr/> 100%

Relationship of Author to the Case
(N = 85)

Consultant	71	84%
Researcher	14	16%
		<hr/> 100%

surprising given the strong application orientation of even university-based consultants and the understandable reluctance of clients to allow experimentation to take place.

- c. Relationship of the author to the case. Yin et al. (1977) found in an evaluation of change efforts that the more involved case authors were in a project, the more likely they were to report positive outcomes. The cases were coded, therefore, according to whether the authors were:

- among the consultants involved in the case (C) or
- an uninvolved commentator, observer, or researcher (R).

The data indicate that relatively few third-party cases are written, which raises two issues. First, how valid or reliable are the authors' descriptions and assessments of the outcomes? Second, does the quality of the descriptions vary according to whether the author is or is not involved directly in an intervention? Both of these questions will be answered in more detail below.

2. Consultant Variables

- a. Locus of consultants. The distinction between internal and external consultants has already been discussed above. Each case was coded according to whether the consultants in a case were:

- internal to the client organization (I),
- external to the client organization (E), or
- both internal and external, when more than two consultants were involved (I/E).

Table A.2 summarizes the distribution between these categories. The overwhelming majority of cases dealt with external consultants, while teams containing both internal and external consultants accounted for 20 percent of the cases. Few cases have been written describing internal consultants, which raises questions as to the adequacy of existing literature as a guide for internal consultants. Unfortunately, the cases that do exist seldom indicate what the potential differences are between internal and external consultants since they offer little substantive data.

- b. Number of consultants. Although it is seldom noted in the literature, many consultants work in teams, partially because of the size of the projects they choose

TABLE A.2
Consultant Variables

Locus of Consultants (N = 85)

Internal	3	4%
External	65	76%
Internal/External	17	20%
		<hr/> 100%

Number of Consultants (N = 85)

Single	18	21%
Team	67	79%
		<hr/> 100%
Average size of team	3.7	

Consultant Roles (N = 85)

Advocate	2	2%
Expert	23	27%
Trainer	17	20%
Collaborator	30	35%
Interpersonal Processor	8	9%
Unknown	5	6%
		<hr/> 100%

to work on, and partially because of a preferred style of interacting with a client. The 85 cases were divided according to whether there was:

- a single consultant (S) or
- a team of consultants (T).

Table A.2 indicates that a majority of the change efforts involved teams of consultants. The teams ranged from 2 to 18, with an average size of nearly 4 consultants per team. This data is somewhat distorted, however, by the inclusion of 5 projects involving a total of 55 graduate students. Eliminating this group of cases reduces the number of consultants per team to 3. Insofar as the existing literature has been dominated by lone-wolf high-powered consultants (e.g., Argyris; Beckard; Bennis; Schein; Steele; Walton), considerably more attention needs to be paid to this aspect of consulting, and particularly the combination of internal and external consultants on a single team.

c. Consultant roles. Earlier a modified and enlarged consultant role concept was presented. The cases, however, seldom provide enough data to go beyond a global evaluation of the dominant approach taken by a consultant team. The five consultant roles coded were:

- (1) the advocate (A)
- (2) the expert (E)
- (3) the trainer (T)
- (4) the collaborator (C)
- (5) the interpersonal processor (I)

Table A.2 indicates that the three roles adopted most frequently are the collaborator, the expert, and the trainer. One cautionary note is that consultants seldom adopt a single role, either with different clients or the same client. The distribution reflects an estimation of the dominant role exhibited by consultants in the case.

3. Intervention Method

As previously noted, a wide variety of intervention methods and procedures exist. Spencer and Cullen (1978) sorted these methods into eight basic forms. The cases were coded for the dominant method employed using these eight categories plus a multiple method category.

The eight intervention methods were:

- (1) individual consultation
- (2) unstructured group training
- (3) structured group training
- (4) process consultation
- (5) survey feedback
- (6) job redesign
- (7) organizational design
- (8) general consulting

Table A.3 indicates the distribution of the methods across the 85 cases. There is a rough balance between the five most prevalent techniques. Of more consequence is the relative rarity of individual consultation, unstructured training, and organizational design. The former fails to reflect a key activity of many consultants, namely one-on-one discussion with a client. While this activity is visible within few cases, it may prove to be far more pervasive than the literature indicates. The low frequency of unstructured training reflects the move away from T-groups and sensitivity training as dominant intervention methods. Such techniques are now more likely to be found in a diluted form in many structured training programs. Cases illustrating organizational design interventions are rare, especially since reorganization is the dominant management approach to organizational change. There is reason to believe that the shortage of cases in this area mirrors the gap between management consultants and organization development consultants.

4. Case Outcomes

In general, relatively few cases provided clear outcome criteria, and even fewer presented the data so that one could attribute the outcomes unambiguously to the method (Porrás & Berg, 1978). Four coding categories were developed to allow some criterion-based analysis:

- (1) Success: significant positive outcomes attributed to a change effort which met initial expectations. (S)

TABLE A.3
Intervention Method

Individual Consultation	1	1%
Unstructured Group Training	3	4%
Structured Group Training	16	19%
Process Consultation	12	14%
Survey Feedback	14	16%
Job Redesign	8	9%
Organizational Design	6	7%
General Consulting	12	14%
Multiple Methods	14	16%
		<hr/> 100%

- (2) Limited success: positive outcomes attributed to a change effort, but they did not seem to meet initial expectations. (L)
- (3) Failure: negative outcomes associated with the change effort, or the change effort is halted due to client dissatisfaction. (F)
- (4) Unclear: either significant positive and negative outcomes are associated with a change effort, or no clear outcome identified. (U)

Table A.4 summarizes the outcomes of the 85 cases. The number of successful change efforts is surprisingly small, particularly considering the absence of third-party case writers. The number of clear failures does, however, meet expectations.

5. Behavioral Content

The last set of three coding categories was devised to measure the amount of detailed description in the cases. Each category was coded present/absent.

- (1) Specific agenda: relatively detailed lists of consultant or client activities are described. For example, a time line is included that details when each major intervention took place, or a workshop agenda is included.
- (2) Critical events: important situations that had some impact on the final outcome of the intervention are mentioned. For example, Sebring and Duffee (1977) report receiving late-night telephone messages asking them to strategically reorganize their data to support one side of a conflict.
- (3) Behavioral description: detailed accounts of how situations or activities were handled--they need not be critical events. e.g., reconstructed dialogues, descriptions of how they were analyzed or presented.

Table A.5 summarizes the results of this analysis. The paucity of detailed information is marked. Less than half of the cases provide the reader with any general idea of what actually took place. A little more than a third of the cases identify an important event or occurrence, and only 12 percent of the cases provide examples of how the consultant thought or acted in the course of the intervention.

TABLE A.4
Case Outcomes

Success	30	35%
Limited Success	19	22%
Failure	15	16%
Unclear	21	26%
		<hr/>
		100%

TABLE A.5

Level of Descriptive Case Data

Specific Agenda	36	42%
Critical Events	29	34%
Behavioral Descriptions	10	12%

The prospects for the emergence of a grounded theory of effective consultant behavior are extremely limited given this lack of data.

An Analysis of Case Outcomes

The existing outcome assessments provide an opportunity to examine the factors associated with successful and unsuccessful change efforts. While it is possible to use simple non-parametric measures of association, no statistical technique was employed because the data base is neither complete nor representative. Moreover, as we mentioned earlier, the cases analyzed suffer from a wide variety of biases. Thus only the simplest measures have been used in order to avoid overtaxing the data, yet they are robust enough to indicate potential hypotheses. Finally, in the closing section we look more carefully at the 15 cases in which an organizational intervention failed in order to pinpoint possible reasons for failure. As we will see, the data are more likely to provide relevant information on failures than on successes.

Background Variables and Case Outcomes

Hinings, Greenwood, and Ranson (1975) suggest that change efforts in profit-oriented organizations are more likely to be successful than those carried out in public and other types of organizations. Dunn and Swierczek (1977) examined this hypothesis using a sample of 58 cases and conclude that any claims "that economic organizations exert special predisposing influences on change efforts are open to question." The data in Table A.6 support the hypothesis of Hinings et al. Grouping all client groups except business together results in a success ratio of 27 percent and a failure ratio of 23 percent.

Why the different conclusions? Basically, because Dunn and Swierczek's sample of cases included instances of organizational change efforts without any identifiable consultant. For example, they included cases recounting flexible work hour experiments, where the change was more or less mandated through a change in job practices. Nearly 25 percent of their cases were of this type. However, it remains unclear why this difference in success should occur. One possible explanation which could be examined is that the greater the research component in a change effort the less likely it is that it will succeed. The argument here is twofold. First, researchers are not as interested in the outcomes as they are in working with an organization. Second, the more rigorous research measurement will be less likely to demonstrate that cases with a high research

TABLE A. 6

Background Variables and Case Outcomes

Type of Client and Case Outcome

	Success	Limited Success	Failure	Unclear	Total	Percent Success	Percent Failure
Business	18	6	5	6	41	44%	14%
Government	7	1	3	5	16	44%	19%
Education	2	6	6	5	19	11%	32%
Health	1	4		2	7	14%	0%
Community	2	1	1	1	6	40%	20%
Military		1		1	2	0%	0%
Other				1	2	0%	0%
	30	19	15	21			

Reason for Involvement and Case Outcome

	Success	Limited Success	Failure	Unclear	Total	Percent Success	Percent Failure
Intervention	21	9	9	16	55	38%	16%
Research	2	4	2	2	10	20%	20%
Intervention/ Research	7	5	4	2	18	39%	22%
Other	1			1	2		

Relationship of Author and Case Outcome

	Success	Limited Success	Failure	Unclear	Total	Percent Success	Percent Failure
Consultant	25	18	10	18	71	35%	14%
Researcher	5	1	5	3	14	36%	36%

component have a lower success rate and that cases analyzed by a third party researcher have a higher failure rate. However, research involvement was evenly distributed across the different client types, indicating that the type of client probably has an independent impact on case outcomes.

Quality of Case Data

There remains a need to explain the variation in the quality of data in different cases. Table A.7 summarizes the quality of the case data by outcome, and a distinct pattern emerges. Successful and partially successful cases are more likely to provide a specific agenda and less likely to provide information concerning critical events taking place in the intervention. Cases describing failures are less likely to describe specific agendas and more likely to identify critical events. The description of critical events in instances of failure is to be expected intuitively as is the specifying of a successful intervention design. The data indicate that case outcomes are unrelated to the presence of behavioral descriptions.

The two variables that differentiate somewhat between cases with behavioral data and the other cases are the greater prevalence of business clients (90 percent versus 41 percent) and the greater frequency of intervention as the reason for involvement (90 percent versus 65 percent). Overall, the data suggest that external consultants working in small teams with business clients who have distinct problems provide behaviorally descriptive data on how they conducted the intervention.

One intriguing finding is that researchers and cases with a research purpose do not provide behaviorally descriptive data. In part this reflects a concern of most researchers with quantitative evaluations of change efforts. A focus on quantitative data seems to exclude the use of qualitative data.

Finally, the quality of data in the cases varies somewhat by the intervention method used. As Table A.8 indicates, both job redesign and organizational design interventions provide minimum qualitative data on how the change was actually designed and implemented. This raises some concern, since the trend among organization development consultants is toward these less overtly process-centered interventions; however, though the number of evaluation studies using this approach is large (Cummings & Molloy, 1977) few provide the information a consultant needs to learn how to effectively undertake a similar effort.

TABLE A.7

Consultant Variable by Case Outcome

Outcome by Location of Consultants

	Success	Limited Success	Failure	Unclear	Total	Percent Success	Percent Failure
Internal	2			1	3	67%	0%
External	20	15	13	17	65	31%	20%
Internal/ External	8	4	2	3	17	47%	12%
Total	30	19	15	21			

Outcome by Consultant Role

	Success	Limited Success	Failure	Unclear	Total	Percent Success	Percent Failure
Advocate	1	1			2	50%	0%
Expert	13	6	1	3	23	56%	4%
Trainer	2	6		9	17	12%	0%
Collaborator	8	5	12	6	31	26%	39%
Interpersonal Processor	3	0	2	2	7	43%	29%
Unknown	3	1		1	5	60%	0%
Total	30	19	15	21			

TABLE A.8
Quality of Data By Intervention Method

	Specific Agenda	Critical Events	Behavioral Descrip- tions
Unstructured Group Training (n=3)	2 (67)*	2 (67)	1 (33)
Structured Group Training (n=16)	7 (44)	4 (25)	1 (6)
Process Consultation (n=12)	8 (67)	6 (50)	3 (25)
Survey Feedback (n=14)	8 (77)	5 (38)	3 (21)
Job Redesign (n=8)	2 (25)	2 (25)	(0)
Organizational Design (n=6)	2 (33)	(0)	(0)
General Consulting (n=12)	4 (33)	6 (50)	1 (8)
Multiple (n=14)	3 (21)	4 (29)	1 (7)
Total	36	29	10

() * refers to the percentage of total cases

Summary

A serious limitation of the great majority of case studies reviewed is the lack of behavioral specificity about what consultants actually did in the interventions described that led to their success or failure. In only 18 percent (15 of 85) cases reviewed were consultant behaviors described in sufficient detail for the reviews to make any judgment about why the consultant was effective or ineffective. In many cases (e.g., Dunn & Swierczek, 1977) no mention is made of consultant behavior at all. Ironically, when consultants succeed, they credit the methods they used, or interactive and exogenous variables (e.g., client structure); only when interventions fail do case authors report what the consultants did that contributed to the outcome.

Advances in the behavioral science of consulting are likely to come from detailed, behaviorally specific studies of what both effective and ineffective consultants actually do that predicts the success or failure of their intervention efforts.

APPENDIX B
Detailed Coding of Traditional Cases

DETAILED CODING OF INDIVIDUAL CASES

1. Background Variables by Individual Cases

	Type of Client	Author's Involvement	Reason for Involvement
	B = Business	C = Consultant	I = Intervention
	M = Military	R = Researcher	R = Researcher
	G = Government		I/R = Both
	E = Education		I/T = Inter-
	H = Hospital		vention/
	C = Community		Training
	S = Simulation		
	P = Prison		
Beer & Kleisath (1971)	?	C	?
Berg (1977)	B	C	R
Berlew & Leclere (1974)	C	C	I
Berlin (1978)	G	C	R
Bigelow (1971)	E	?	R
Blake, Mouton & Sloma (1965)	B	C	I
Blake et al. (1964)	B	R	I/R
Blumberg & Weiner (1971)	C	C	I
Bragg & Andrews (1973)	B	C	I/R
Brown et al. (1974)	E	C	I/R
Brown (1972)	E	C	I/R
Butler (1979)	G	C	I
Carew et al. (1977)	G	C	R
Chesler & Flanders (1967)	E	C	R
Clark (1972)	B	C	I
Clegg (1979)	B	C	R
Cohen & Gadon (1978)	E	C	I
Cohen & Turney (1978)	M	R	I
Crockett (1977)	G	C	I
Croft (1970)	E	C	I
Culbert (1972)	E	C	?
Culbert & McDonough (1977)	B	C	I
Dayal & Thomas (1968)	B	C	I
Doob & Foltz (1973-1974)	C	C	I
Drexler & Lawler (1977)	B	R	I
Fosmire, Keutzer & Diller (1971)	E	C	I/R
Fowler et al. (1979)	G	C	I
Frank & Hackman (1975)	B	R	R
Frye et al. (1977)	B	C	I
Gavin & McPhail (1978)	E	C	I/R
Giegold & Dunsing (1978) (a)	G	C	I

Giegold & Dunsing (1978) (b)	G	C	I
Glaser (1977) (a)	G	R	I
Glaser (1977) (b)	G	R	I
Glaser (1977) (c)	G	R	I
Glaser (1977) (d)	G	R	I
Gluckstern & Packard (1977)	P	C	I
Goldstein (1978)	H	C	I
Golembiewski & Blumberg (1967)	B	C	I
Golembiewski & Carrigan (1970)	?	C	?
Golembiewski et al. (1971, 1973)	B	C	I
Golembiewski et al. (1974)	B	C	I/R
Goodstein & Boyer (1972)	G	C	I
Hand et al. (1975)	S	R	I/T
Harris (1978)	H	C	I/R
Harris & Porras (1978)	B	R	I/R
Hautaluoma & Gavin (1975)	B	C	I/T
Hess (1978)	B	R	I/R
Huse & Beer (1971)	B	C	I
Huseman et al. (1978)	B	C	I
Kaplan (1978)	B	C	I
Regan & Rubenstein (1973)	B	C	I/R
Kimberly & Nielsen (1975)	B	C	I/R
Kuriloff & Atkins (1966)	B	C	I
Landay (1978)	E	R	I
Levin & Stein (1970)	B	C	I
Lewicki (1977)	C	C	I
Lewicki & Alderfer (1973)	B	C	I/R
Luke et al. (1973)	B	C	I
Mack (1978)	B	C	I
McElvaney & Miles (1969)	E	C	I/R
MacMillan & Langmeyer (1975)	E	R	I
Nadler (1978)	H	C	I
Nadler & Pecorella (1975)	B	C	R
Pasmore (1979) (a)	B	R	I/R
Pasmore (1979) (b)	B	C	I
Patten & Fraser (1975)	B	C	I
Paul et al. (1969)	E	C	I
Randolph & Edwards (1978, 1979)	E	C	I/R
Rogers et al. (1974)	B	C	I
Schemerhorn (1979) (a)	H	C	I
Schemerhorn (1979) (b)	H	C	I
Schemerhorn (1979) (c)	H	C	E
Schemerhorn & Barrilleaux (1978)	E	C	I
Schmuck (1968) (a)	E	?	R
Schmuck (1968) (b)	E	?	R
Schmuck (1968) (c)	E	?	I
Schmuck et al. (1975)	E	C	?
Schmuck et al. (1969)	E	C	I/R
Sehring & Duffee (1977)	G	C	I
Stodwinder & Clayton (1978)	H	C	I
Tichy (1978)	H	C	I

Torczyner (1972)	G	C	I
Verheyen (1979)	G	C	I
Walton (1970)	G	C	I
Walton (1968)	B	C	I
Wedge (1970)	C	C	I
Williams & Alford (1978)	B	C	I
Zand et al. (1969)	?	C	?

2. Consultant Variables by Individual Case

	Locus of Consultants	Number of Consultants	Consultant Role
	I = Internal E = External I/E = Both	S = Single T = Team () = Number	A = Advocate E = Expert T = Trainer C = Collaborator I = Interpersonal Processor
Beer & Kleisath (1971)	?	?	?
Berg (1977)	E	S	C
Berlew & Leclerc (1974)	E	T(2)	T
Berlin (1978)	E	S	E
Bigelow (1971)	E	T(?)	T
Blake, Mouton & Sloma (1965)	E	T(2)	C
Blake et al. (1964)	E	T(?)	C
Blumberg & Weiner (1971)	E	T(2)	C
Bragg & Andrews (1973)	I/E	T(?)	E
Brown et al. (1974)	E	T(4)	C
Brown (1972)	E	S	?
Butler (1979)	E	S	T
Carew et al. (1977)	E	T(8)	C
Chesler & Flanders (1967)	E	T(2)	E
Clark (1972)	E	T(2)	C
Clegg (1979)	E	T(2)	E
Cohen & Gadon (1978)	E	T(?)	C
Cohen & Turney (1978)	E	T(?)	C
Crockett (1977)	I/E	T(?)	C
Croft (1970)	E	T(2)	T
Culbert (1972)	E	T	E
Culbert & McDonough (1977)	I/E	T(2)	C
Daval & Thomas (1968)	E	T(2)	E
Doob & Poltz (1973-1974)	E	T	A, I
Drexler & Lawler (1977)	E	T(3)	E
Fosmire, Keutzer & Diller (1971)	E	T(3)	C
Fowler et al. (1979)	I/E	T(2)	T
Frank & Hackman (1975)	E	T(2)	C
Frye et al. (1977)	E	T(3)	?
Gavin & McPhail (1976)	E	T(8)	C
Giegold & Dunsing (1978) (a)	E	S	T
Giegold & Dunsing (1978) (b)	E	S	T
Glaser (1977) (a)	E	S	E
Glaser (1977) (b)	E	S	C

Glaser (1977) (c)	E	S	I
Glaser (1977) (d)	E	S	I
Gluckstern & Packard (1977)	I/E	T(2)	T
Goldstein (1978)	E	S	E
Golembiewski & Blumberg (1967)	E	T(2)	C
Golembiewski & Carrigan (1970)	?	?	?
Golembiewski et al. (1971, 1973)	E	T(?)	?
Golembiewski et al. (1974)	I/E	T(3)	E
Goodstein & Boyer (1972)	E	T(2)	E
Hand et al. (1975)	E	S	C
Harris (1978)	E	T(2)	E
Harris & Porras (1978)	I	T(?)	C
Hautaluoma & Gavin (1975)	E	T(11)	E
Hess (1978)	I/E	T(7)	?
Huse & Beer (1971)	E	T(2)	E
Huseman et al. (1978)	I	T(?)	E
Keplan (1978)	E	T(5)	E
Kegan & Rubenstein (1973)	I/E	T(?)	T
Kimberly & Nielsen (1975)	E	T(2)	C
Kurilloff & Atkins (1966)	E	T(2)	I
Landay (1978)	E	T(2)	C
Levin & Stein (1970)	E	T(5)	I
Lewicki (1977)	E	T(5)	C
Lewicki & Alderfer (1973)	E	T(2)	C
Luke et al. (1973)	I/E	T(4)	E
Mack (1978)	E	S	E
McElvarey & Miles (1969)	I/E	T(?)	C
MacMillan & Langmeyer (1975)	E	T(10)	C
Nadler (1978)	E	T(2)	E
Nadler & Pecorella (1975)	I/E	T(2)	C
Pasmore (1979) (a)	I/E	T(?)	?
Pasmore (1979) (b)	E	T(?)	C
Patten & Fraser (1975)	I/E	T(2)	E
Paul et al. (1969)	I/E	T(3)	E
Randolph & Edwards (1978, 1979)	I/E	T(2)	C
Rogers et al. (1974)	E	T(3)	T
Schemerhorn (1979) (a)	E	S	T
Schemerhorn (1979) (b)	E	S	T
Schemerhorn (1979) (c)	E	S	T
Schemerhorn & Barrilleaux (1978)	E	T(18)	C
Schmuck (1968) (a)	E	T(2)	T
Schmuck (1968) (b)	E	T(6)	T
Schmuck (1968) (c)	E	T(5)	T
Schmuck et al. (1975)	E	T(?)	?
Schmuck et al. (1969)	E	T(3)	T
Sehring & Duffee (1977)	E	T(2)	C
Stodwinder & Clayton (1978)	E	T(2)	E
Tichy (1978)	E	T(3)	E
Torczynner (1972)	I	T(?)	C
Verheyen (1979)	I/E	T(?)	E

Walton (1970)	E	T(5)	I
Walton (1968)	E	S	I
Wedge (1970)	E	S	A
Williams & Alford (1978)	I/E	T(3)	T
Zand et al. (1969)	?	?	?

3. Intervention Type and Outcome by Individual Case

	Type of Intervention	Outcome
		Evaluation
		S = Success
		L = Limited
		Success
		U = Unclear,
		Mixed
		F = Failure
Beer & Kleisath (1971)	?	
Berg (1977)	General consulting	F
Berlew & Leclerc (1974)	Structured group training	U
Berlin (1978)	Organizational design	L
Bigelow (1971)	Structured group training	U
Blake, Mouton & Sloma (1965)	Process consultation	U
Blake et al. (1964)	Structured group training	S
Blumberg & Weiner (1971)	Structured group training	S
Bragg & Andrews (1973)	Organizational design	S
Brown et al. (1974)	Multiple	F
Brown (1972)	Sensitivity training	L
Butler (1979)	Structured group training	U
Carew et al. (1977)	Structured group training	S
Chesler & Flanders (1967)	Survey feedback	U
Clark (1972)	General consulting	F
Clegg (1979)	Job redesign	S
Cohen & Gadon (1978)	Structured group training	U
Cohen & Turrey (1978)	Survey feedback	L
Crockett (1977)	Structured group training	U
Croft (1970)	Structured group training	L
Culbert (1972)	Unstructured group training	F
Culbert & McDonough (1977)	General consulting	F
Dayal & Thomas (1968)	Process consultation	L
Deeb & Foltz (1973-1974)	Structured group training	L
Drexler & Lawler (1977)	Job redesign	U
Fosmire, Keutzer & Diller (1971)	Multiple	S
Fowler et al. (1979)	Structured group training	S
Frank & Hackman (1975)	Job redesign	F
Frye et al. (1977)	Multiple	S
Gavin & McPhail (1978)	Process consultation	U
Giegold & Dunsing (1978) (a)	Process consultation	U
Giegold & Dunsing (1978) (b)	Process consultation	U
Glaser (1977) (a)	Job redesign	S
Glaser (1977) (b)	General consulting	S

Glaser (1977) (c)	General consulting	F
Glaser (1977) (d)	General consulting	F
Gluckstern & Packard (1977)	General consulting	U
Goldstein (1978)	Structured group training	L
Golembieliski & Blumberg (1967)	Process consultation	L
Golembiewski & Carrigan (1970)	?	
Golembiewski et al. (1971, 1973)	Multiple	U
Golembiewski et al. (1974)	Structured group training	S
Goodstein & Boyer (1972)	Survey feedback	S
Hand et al. (1975)	Survey feedback	U
Harris (1978)	Structured group training	L
Harris & Porras (1978)	Multiple	U
Hautaluoma & Gavin (1975)	Structured group training	S
Hess (1978)	Survey feedback	S
Huse & Beer (1971)	Job redesign	S
Huseman et al. (1978)	General consulting	S
Kaplan (1978)	Multiple	S
Kegan & Rubenstein (1973)	Multiple	L
Kimberly & Nielsen (1975)	Multiple	L
Kuriloff & Atkins (1966)	Unstructured group training	S
Larday (1978)	Multiple	F
Levin & Stein (1970)	Structured group training	S
Lewicki (1977)	Survey feedback	F
Lewicki & Alderfer (1973)	Survey feedback	F
Luke et al. (1973)	Organizational design	S
Mack (1978)	General consulting	S
McElvaney & Miles (1969)	Structured group training	L
MacMillan & Langmeyer (1975)	Process consultation	F
Nadler (1978)	Job redesign	L
Nadler & Pecorella (1975)	Multiple	L
Pasmore (1979) (a)	Job redesign	S
Pasmore (1979) (b)	Survey feedback	U
Patten & Fraser (1975)	Survey feedback	L
Paul et al. (1969)	Job redesign	S
Randolph & Edwards (1978, 1979)	Multiple	F
Rogers et al. (1974)	Survey feedback	S
Schmerhorn (1979) (a)	General consulting	U
Schmerhorn (1979) (b)	Structured group training	L
Schmerhorn (1979) (c)	Structured group training	U
Schmerhorn & Barrilleaux (1978)	General consulting	F
Schmuck (1968) (a)	Process consultation	L
	Unstructured group training	
Schmuck (1968) (b)	Process consultation	L
Schmuck (1968) (c)	Structured group training	L
Schmuck et al. (1975)	?	
Schmuck et al. (1969)	Structured group training	S
Sebring & Duffee (1977)	Multiple	F
Stodwinder & Clayton (1978)	Multiple	S
Tichy (1978)	Survey feedback	U
Torczyrer (1972)	General consulting	S

Verheyen (1979)
Walton (1970)
Walton (1968)
Wedge (1970)
Williams & Alford (1978)
Zand et al. (1969)

Survey feedback
Process consultation
Process consultation
Process consultation
Multiple

S
U
S
S
U

4. Descriptive Case Data by Individual Case

Description of Consultant Behavior

	Outline of Approach	Specific Agenda and Methods	Critical Points	Behavioral Descriptions
Beer & Kleisath (1971)				
Berg (1977)	X		X	X
Berlew & Leclerc (1974)	X			X
Berlin (1978)				
Bigelow (1971)	X			
Blake, Mouton & Sloma (1965)	X	X	X	X
Blake et al. (1964)	X	X	X	
Blumberg & Weiner (1971)	X		X	
Bragg & Andrews (1973)	X	X		
Brown et al. (1974)	X		X	
Brown (1972)				
Butler (1979)				
Carew et al. (1977)				
Chesler & Flanders (1967)			X	
Clark (1972)	X			
Clegg (1979)	X	X	X	
Cohen & Gadon (1978)	X	X	X	
Cohen & Turney (1978)	X			
Crockett (1977)	X			
Croft (1970)	X	X		
Culbert (1972)	X	X	X	
Culbert & McDonough (1977)	X	X	X	
Dayal & Thomas (1968)	X	X		X
Doob & Foltz (1973-1974)	X	X		
Drexler & Lawler (1977)	X	X		
Fosmire, Keutzer & Diller (1971)	X		X	
Fowler et al. (1979)	X	XX		
Frank & Hackman (1975)	X			
Frye et al. (1977)	X	X		
Gavin & McPhail (1978)	X		X	
Giegold & Dunsing (1978) (a)	X	X		
Giegold & Dunsing (1978) (b)	X			
Glaser (1977) (a)	X		X	
Glaser (1977) (b)	X		X	
Glaser (1977) (c)	X			
Glaser (1977) (d)				
Gluckstern & Peckard (1977)	X		X	
Goldstein (1978)	X			

Golembieliski & Blumberg (1967)	X	X	X	
Golembiewski & Carrigan (1970)				
Golembiewski et al. (1971, 1973)				
Golembiewski et al. (1974)				
Goodstein & Boyer (1972)	X	X	X	X
Hand et al. (1975)	X			
Harris (1978)	X			
Harris & Porras (1978)	X			
Hautaluoma & Gavin (1975)	X	X	X	X
Hess (1978)	X			
Huse & Beer (1971)	X			
Huseman et al. (1978)	X	X		
Kaplan (1978)	X	X		
Kegan & Rubenstein (1973)	X			
Kimberly & Nielsen (1975)	X			
Kuriloff & Atkins (1966)	X	X	X	X
Landay (1978)	X		X	
Levin & Stein (1970)				
Lewicki (1977)	X			
Lewicki & Alderfer (1973)	X		X	
Luke et al. (1973)	X	X		
Mack (1978)	X	X		
McElvaney & Miles (1969)	X	X		
MacMillan & Langmeyer (1975)	X	X	X	
Nadler (1978)	X			
Nadler & Pecorella (1975)	X			
Pasmore (1979) (a)	X			
Pasmore (1979) (b)	X	X		
Patten & Fraser (1975)	X	X		X
Paul et al. (1969)				
Randolph & Edwards (1978, 1979)	X	X		
Rogers et al. (1974)	X	X		
Schemerhorn (1979) (a)	X			
Schemerhorn (1979) (b)	X	X	X	
Schemerhorn (1979) (c)	X			
Schemerhorn & Barrilleaux (1978)	X	X	X	
Schmuck (1968) (a)	X			
Schmuck (1968) (b)	X			
Schmuck (1968) (c)	X			
Schmuck et al. (1975)				
Schmuck et al. (1969)	X	X		
Sebring & Duffee (1977)	X		X	X
Stodwinder & Clayton (1978)	X		X	
Tichy (1978)	X	X		
Torczyner (1972)	X		X	
Verheyen (1979)	X	X		
Walton (1970)	X	X		
Walton (1968)	X	X	X	X
Wedge (1970)	X	X	X	
Williams & Alford (1978)	X			
Zand et al. (1969)				

APPENDIX C

Competency Themes Generated by
the Interview Analysis Teams

COMPETENCY THEMES GENERATED BY
THE INTERVIEW ANALYSIS TEAMS

A. Themes Generated by Analysis Group 1

Orients Clients

1. Sets stage for meeting with clients
2. Prepares General for meeting
3. Walks through workshop design with client
4. Explains reason/process of interview
5. Publishes agenda
6. Clarifies next tasks facing client

Confronts Superior Officer

7. Clearly states a position that is contrary to superior officer's
8. Explicitly denigrates position of superior officer
9. Reiterates negative assessment of superior officer's behavior
10. Insists that others change behavior
11. Refuses to provide information requested by superior officer

Explicitly Sets Ground-Rules for Getting Involved

12. Requests time to consider before committing to project
13. Requires specific process of interacting
14. Insists on specific patterns of others' behavior
15. Lays out required logistics

Insists on Top Management Support

16. Requires specific agreement of most senior officers in client system before proceeding

Explicitly Requests and Takes Time to Consider Position Before Committing/Acting

17. Delays response to novel request
18. Stalls for time

N. B. (-) signifies that the theme was hypothesized to predict poor OESO performance.

Uses Rational Influence Strategies

- 19. Lists advantages and disadvantages of own and others' approach as means of influencing others
- 20. Makes logically deduced predictions
- 21. Refers to concrete past experience as basis for action
- 22. Writes staff paper to support position

Uses Position/Status to Influence Others

- 23. Explicitly mentions expertise as basis for trust
- 24. Drops names of other high prestige clients

Uses Covert Influence Strategies

- 25. Adapts image/behavior to meet client expectations
- 26. Pushes client's "hot button"
- 27. Withholds complete information
- 28. Utilizes information client doesn't have
- 29. Heightens value of own services
- 30. Appeals to client's need for prestige
- 31. Makes positive strokes for client target
- 32. Begins by low-balling required commitment
- 33. Manipulates situation

Interpersonal Diagnosis

- 34. Uses others' feelings to describe others
- (-) 35. Is surprised by emotional/behavioral reactions of others
- 36. Uses others' feelings to explain behavior
- 37. Uses assessment of others' feelings to guide actions
- 38. Uses abstract labels to describe others
- (-) 39. Fails to anticipate negative reactions of client

Proactivity

- 40. Identifies and describes issues/problems to others on own initiative
- 41. Offers unsolicited help to others
- 42. Introduces new idea/product
- 43. Initiates actions to obtain new/additional resources
- 44. Meets anticipated needs before they are articulated

Involves Client in Planning/Organization

- 45. Discusses plan of action with client prior to formulation
- (-) 46. Fails to get key actors involved
- 47. Lets clients define problems
- 48. Identifies and discusses client's goals

Avoids Excessive Ownership of Task

- 49. Allows client group to select own course of action

Accepts Responsibility for Outcomes

- (-) 50. Blames failure on weakness of client system
- (-) 51. Blames failure on member of client system
- 52. Takes credit for success
- 53. Identifies specific failure to take action
- 54. Explicitly acknowledges role in failure

Critical Self-Assessment

- 55. Identifies specific weaknesses/errors in consulting style
- 56. Identifies specific personal weaknesses, e.g., tongue-tied, impatience, aggressiveness
- 57. Discusses personal mistakes with others
- 58. Identifies weakness/error in technique

Awareness of Non-Verbal Behavior

- 59. Describes physical state of client
- 60. Collects observational data

Results Orientation

- 61. Describes enhanced work performance
- 62. Describes changes in concrete performance indicators
- 63. Evaluates \$ costs/benefits

Concern for Impact of Intervention

- 64. Meets procedural goals
- 65. Institutionalizes process or procedure

Awareness of Time Pressure

- 66. Adapts design to fit time frame
- 67. Mentions time pressure
- 68. Avoids time-lapse
- 69. Recognizes impact of time constraints on what can be done
- 70. Is aware of time as a resource

Concern for Efficiency

- 71. Reduces task time
- 72. Applies existing processes to new tasks rather than redesign process
- 73. Has a concern for wasted time
- 74. Selects from alternatives on basis of \$ cost

Self-Confidence

- 75. Describes self as effective
- (-) 76. Expresses uncertainty about ability to do a task when actually well-equipped
- 77. Favorably compares self with others

Utilizes Outside Help/Expertise

- 78. Requests advice from others
- 79. Identifies others (and uses them) who have complementary skills or skills OESO does not have
- 80. Buys outside expertise
- 81. Works through problems with friends in field
- 82. Bounces ideas off others
- 83. Develops additional personnel in OE

Strategizes Around Marketing

- 84. Prepare marketing materials/presentations with client in mind
- 85. Role plays client's possible reactions to marketing effort
- 86. Assesses key personnel changes in client system
- 87. Anticipates marketing opportunities on basis of ongoing organizational events
- 88. Utilizes appropriate dissemination technique
- 89. Uses "hot topics" to open door

Concern for Surfacing all Relevant Information/Opinions

- 90. Designs data collection to account for all significant parties
- 91. Designs workshop to ensure all points of view are heard

Anticipates Potential Problems

- 92. Allocates roles within team of consultants to ensure effectiveness

Task Facilitation

- 93. Selects consulting behavior with task accomplishment in mind
- 94. Monitors task against specified goals/time line/standard
- 95. Helps others focus efforts on specific tasks

B. Themes Generated by Analysis Group 2

Congruence with OE Role

1. Expresses enthusiasm for OE
2. Supports OE, verbally and nonverbally

Concern for Improvement in OE Role

3. Assesses strengths and weaknesses of own performance
4. States learnings from experience
5. Expresses need for outcome-based performance feedback

Building a Consultant Team

6. Assesses strengths and weaknesses of others (re: a task requirement)
7. Is candid with others about own abilities and shortcomings

Sense of Limits of Own Role

8. States role limitations
9. Distinguishes need to take a support role vs. the lead role, as situation requires
10. Does not take credit for things at were situationally or otherwise determined

Educates Client

11. Educates client about OE Processes or procedures
12. Distinguishes OESO role from client role
13. Tells potential client what OE can do, using examples to illustrate
14. Walks the client through a typical workshop agenda, using concrete examples to make a point or to educate

Reassessing Clients

15. Explains and maintains confidentiality
16. Sensitive to and interprets nonverbal laws
17. Actively gives client reassurance about control of data
18. Promises help and assistance to client

- 19. Works to minimize adverse effects that the client is concerned about
- 20. Acknowledges concerns of client
- 21. Distinguishes previous failures from current proposed OE approach

Client Centered

- 22. Responds to immediate client needs
- 23. Designs activities to fit within client constraints (e.g., time)
- 24. States "I work for you (client)"
- (-) 25. Chooses not to respond to client's immediate needs
- 26. Understands client's emotional needs (e.g. anxiety around client issues) and delays own agenda accordingly
- 27. Wants client to identify the problem as the client sees it
- 28. Wants client how he can be of further help
- 29. Assumes responsibility for the client's work

Client-Congruent

- 30. Adapts behavior according to the expectations of others
- 31. Talks client's language or style
- (-) 32. Uses OE jargon in front of the client
- 33. Emphasizes congruent experience (e.g., combat)

Anticipates Reactions of Others

- 34. Plans strategy based on people's anticipated reactions
- 35. Thinks about impact of own's actions or situations on others

Concerns for Marketing

- 36. Is concerned with and talks about "selling" OE
- 37. Looks for "foot in door" strategy or opportunity
- 38. Makes courtesy calls on commanders and other potential clients
- 39. Looks for opportunities where OE can be of help
- 40. Tries to fit OE products to fit client needs as a sales strategy
- 41. Emphasizes results of proposed OE relationship (e.g., anticipated specific improvements)

Concern for Reputation of OE

- 42. Expresses concern for personal reputation
- 43. Is conscious of what he (or others) says or does has an impact on how others view OE
- 44. Expresses concern for high standards for other OESO's in the program
- 45. Has a concern for high standards in the intervention they are part of

Trustworthy/Self-Awareness

- 46. Reports of others indicate that the OESO can be trusted
- 47. Is aware of the power of his position and/or importance of not abusing it
- 48. Knows how he is viewed as a person by others

Self-Confidence

- 49. "I am capable, I am competent"
- 50. Understands and accepts own strengths and weaknesses
- 51. Deals easily with broad range of people; especially senior people
- 52. Is willing to jump into new situations and accept challenges
- 53. Expresses strong belief in own judgment
- 54. Trusts own feelings and hunches
- 55. Responds nondefensively to negative reaction

Accepts Responsibility in Part from Client

- (-) 56. Places blame on others or circumstances or failure (rather than oneself)
- 57. Feels impact of failure deeply
- 58. Accepts blame for own failure
- 59. Identifies less than successful aspects of successful situations

Diagnostic Skills - Entry

- 60. Identifies powerful others
- 61. Is aware of influence networks
- 62. Identifies who should be included in initial formulation of projects or ideas
- 63. Engineers a 1-on-1 meeting with the top person on entry

64. Synthesizes independent observations and draws conclusions about what's going on

Diagnostic Skills - Process

65. Pulls key themes out of masses of information
66. Thinks about "causes" of problems
67. Asks questions for hard evidence to support own or others' conclusions
68. Has knowledge of standard diagnostic procedures (GOQ, high's and low's, etc.)
69. Knows about problems typically encountered in specific types of situations

Self-Control

70. Stays cool in stressful situations
71. Refrains from taking impulsive action
72. Exercises restraint in phrasing responses or behavior in stressful situations (to OESO)

Confronts

73. Stands up to hostility - uses direct language to respond
74. Avoids conflict situations when they are diagnosed as such
75. Reacts swiftly to bring problems into the open
76. Pushes repeatedly - persists - to resolve conflict
77. States that he has nothing to lose by "pushing" the system

Contracting

78. Has a concern for closure: expressing concern for lack of followup
79. Contracts initially and re-contracts as additional information becomes available
80. Sets up clear expectations - about data gathering, data usage, and roles
81. Abides by (sticks to) the contract

Concern for Control

82. Asserts control over process, which is legitimately under OESO's contract (e.g., controls information)

- 83. Asserts control over the product, which is legitimately under the client's contract
- (-) 84. Relinquishes control
- (-) 85. Abandons: withdraws support or resources without explanation to the client

Risk Assessment

- 86. Weighs outcomes against costs
- 87. Selects clients where there is a high probability of success

Diagnostic Use of Concepts

- 88. Cites references (e.g., research models) and applies them to the work
- 89. Relates a current activity or set of behaviors to a general theory or framework "rules of thumb"
- 90. Modifies the use of a technique or process to serve a different purpose

Flexibility

- 91. Tries alternative approaches to the same task or mission
- (-) 92. Uses same, standard approaches
- 93. Modifies first impressions of others based on data/experience
- 94. Modifies expectations (of an intervention or one's own role)
- 95. Offers alternatives to others

Proactivity

- 96. Takes advantage of opportunities
- 97. Takes initiative to publicize OE
- 98. Tracks down resources beyond those that are easily available
- 99. Persists - makes several efforts to accomplish a task

Strategic Thinking

- 100. Compares what went right with what went wrong to develop next steps
- 101. Develops plans to have maximum impact

- 102. Describes cause-effect relationships
- 103. Anticipates problems and plans to solve them

Perceptual Objectivity

- 104. States understanding of others' perspectives in a situation

Empowers Others

- 105. Communicates positive expectations
- 106. Rewards others through positive feedback
- 107. Asks questions to help others understand the situation or identify action steps
- 108. Provides general guidance, rather than specific solutions, to enable others to solve the problem
- (-)109. Uses data as a weapon to be used against others

Directive Problem-Solving

- 110. Tells others how to do what should be done

Reality-Testing

- 111. Checks out conclusions with others
- 112. Looks to different data sources to check out conclusions

Independence

- 113. Has a concern for autonomy: resists being under control of others

Efficiency Orientation

- 114. States concern for saving time, money, resources
- 115. Assesses how his own time can be best used
- 116. Has a concern for doing things better
- 117. Does advance preparation to make client time more efficient and effective

Realistic Expectations

- 118. Has an experience-based sense of how long things take to get done